Public Personnel Review

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Journal of the Public Personnel Association

PUBLIC PERSONNEL REVIEW

The Journal of the Public Personnel Association

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Public Personnel Review . . . .

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editorial

A New Personnel Frontier

IN THE MONTHS since last November's national election, the term "Presidential transition" has acquired a new, deeper significance than ever before. For the first time in U. S. history the transfer of responsibility from one administration to the next was the object of careful advance planning and action. Both outgoing and incoming Presidents, their Cabinet officers, and other top-level federal officials were all involved. The pervading spirit was one in which partisanship was subordinated to the higher interests of the public good and the welfare of the country, and both political parties are to be applauded for their contributions to the transition.

The editorial in our July, 1960, issue commented on the personnel implications of the transition planning then in progress. The point was made that "personnel officials in other areas of government will want to observe the experience gained in Washington." Now that the transition planning has borne good fruit, we believe more strongly than ever before that personnel people in state and local governments have a potent role to play in their own jurisdictions in easing the stresses and strains of transition in political leadership. But they must take the initiative.

Transition planning centers around two focal points: (1) handing on from one administration to the next an organized body of information about ongoing governmental activities; and (2) informing the incoming administration regarding the organizational structure and human resources of the governmental agencies whose political leadership they have inherited.

While personnel people may not regularly play a prominent part in the first of these areas of activity, they can and should carry major responsibility in the second. Indeed, the concept of planned political transition calls not only for the chief executive to become oriented personnel-wise, but for all top-echelon officials of the new regime to share this knowledge. Who are better equipped than personnel people to contribute this vital information?

Political chief executives are becoming increasingly aware of their need for take-over briefing. Governors Kerner of Illinois and Welch of Indiana have indicated that they will take steps to ease the interregnum period for their successors. Two years ago, Governor Brown of California took the leadership himself in an organized program to orient his new appointees in their administrative domains, and called upon career civil servants in the California state service to help brief their new bosses (see *Public Personnel Review,* April, 1959).

The role of the personnel agency in a period of transition is non-political and nonpartisan. Personnel officials can organize their time to be of assistance to incoming officials . . . acquaint them with existing personnel policies and the provisions of the civil service code . . . gather information about the backgrounds and abilities of career employees whose talents may be utilized.

These services, and many more like them, all hold great potential rewards for both the public and the personnel official. A personnel man involved in transition planning who acquits himself with distinction can do much to convince political leaders that the career civil servant is a responsive and responsible agent for carrying out policies of every administration. Personnel work, conducted along lines suggested here, can be vital, practical, and still epitomize the merit system ideals.

Kenneth O. Warner

EDITOR

Meet the Authors

• **Harvey O. Blum,** author of *Democratic Ratings in Civil Service Selection,* is Personnel Officer of the San Fernando Valley Personnel Office of the Los Angeles City Schools. He was formerly Senior Examiner with the same organization. During World War II, he was a Classification and Assignment Officer in the Adjutant General's Department of the United States Army. Mr. Blum holds a B.A. degree from the University of California at Los Angeles, an M.S. degree in Public Administration from the University of Southern California, and is currently an instructor in Personnel Management at Los Angeles Valley College.

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• **Edward H. Litchfield,** author of *Apostasy of a Merit Man,* is 12th Chancellor of the University of Pittsburgh. He has had extensive experience in the fields of education, public affairs, and industry. Before coming to Pittsburgh, Dr. Litchfield served as dean of the Cornell Graduate School of Business and Public Administration and taught political science at Brown University. He also lectured in public administration at the University of Michigan, where he did his undergraduate work and earned the doctor of philosophy degree. During his years at Michigan, he also served as deputy director of personnel for the State of Michigan and was consultant on organization and personnel to a number of business organizations. In the business world, Dr. Litchfield is chairman of the board of directors of the Smith-Corona Marchant Corporation, a member of the executive committee of Studebaker-Packard, and also holds membership on the boards of directors of Avco Manufacturing Corporation and Allied Products. He has published works on voting behavior, public administration, and business and university management, in ad-

dition to being the author of a book on *Governing Postwar Germany.*

• **Forbes E. McCann,** author of *The Effect of Tests,* has based his article on fifteen years in public examining. He was an Associate Personnel Technician in the New York State Department of Civil Service and subsequently served as Chief of Examinations and Recruitment in the city of Philadelphia during the period in which they reduced provisionals to zero. Since 1959, when he established the personnel management consulting firm of McCann Associates, he has provided tests to many state and local jurisdictions. A former chairman of the Eastern Region of the Public Personnel Association, he has been a contributor to the Association's "Personnel Reports" series as well as to many other publications.

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• **James G. Stockard,** author of *Two Decades of Federal Training Experience,* has been chief of employee training and development for the General Services Administration since 1953. Prior to that, he was in charge of training for the Bureau of the Census. Trained in teaching, business administration, and public administration, he has served as a full-time training specialist on the federal scene in Washington for twenty years. Since 1955, he has been a member of the School Board of Arlington County, Virginia, and currently teaches a course at the U.S. Department of Agriculture Graduate School. Mr. Stockard was one of the founders and a former president of the National Capital Chapter of the Public Personnel Association, and has been active in several other professional societies. He has contributed articles to various professional journals, and his work in training has been recognized through incentive award programs of the Department of Commerce, General Services Administration, and the Training Officers Conference.

What Happened to October, 1959?

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Apostasy of a Merit Man

Edward H. Litchfield

Weighed in the balance, the public service today is found wanting in the qualities of greatness that the times demand.

IT HAS BEEN my privilege to devote a number of years to the public service. I suppose that the public service is still my first love even though I found much to make me unhappy. For more than a decade now I have been on the outside looking in as an educator and as a businessman, alternately, and I am still troubled. What troubles me is not anything very profound nor are my observations deeply analytical. Nor are my views, I believe, founded on political considerations. As an educator I suppose I am associated mostly with Democrats; and as a businessman, mostly with Republicans.

These are not the views of a person who is anti-government. I have spent too many years in the public service to feel that way. Nor do I have in mind any particular governmental jurisdiction or any specific group of individuals. If I seem positive, it is not because of any certainty as to what the solutions are, but rather, because of the sense of urgency and the need for frankness.

Positive, Creative Effort Lacking

What troubles me about the public service? What are some of the reasons underlying the difficulties I think I find within it?

First, I am troubled by attitudes that seem to be unconstructive and uncreative and by reactions to proposals that tend to be more defensive and negative than positive and effective. I find less imagination among Washington bureaucrats than I find on any of the campuses of which I have been a part.

At most of the professional meetings I attend I can find more provocative thinking, not only in the professional fields, but also in public-affairs areas. The businessmen's clubs to which I belong in Pittsburgh or New York offer more stimulating general intellectual discussion and more penetrating creative thinking about their own problems and the problems of the world than I can normally find on similar working levels in Washington.

I am excluding the more creative parts of society, those in the practicing arts and the provocative people in our country. I am talking about the work-a-day world, the professional world, the business world, the educational world.

Public Service vs. Private Sector

I am troubled also by something which I sense is growing: a suspicion of private effort and private groups. Now you may think I am speaking here exclusively as a businessman with his traditional suspicion of government agencies. I *do* have something of this view, but I am thinking of much more. I am thinking of suspicion by government agencies of private non-profit organizations.

The experience of many universities with a number of government agencies is, I think, a good illustration of this feeling that there is a pervasive attitude of suspicion toward the effort that may be undertaken by the private group. The attitude of the auditor seems to prevail rather than the attitude of the creative person who is looking constructively for assistance from elsewhere in the community.

I am troubled also by what I sense to be a growing conclusion, perhaps emerging from the previous point, that most things should be done by government. I am not referring primarily to the economic sector, but to other areas as well. For example, it may be a lack of confidence in private management consulting groups as consultants to

Editor's Note: This article was adapted for publication by Dr. Litchfield from the Keynote Address which he delivered before the opening session of the Public Personnel Association's 1960 International Conference on Public Personnel Administration, New York City, October 24, 1960.

foreign governments in contrast with purely public administration staffs of the ICA and other missions. It may be the kind of research that space agencies and others elect to do themselves that might better be done on university campuses or industrial laboratories. The same conclusion is reached; namely, a general tendency to regard many activities traditionally performed in the private sector as better performed by government.

In this respect, I see little difference between Republican Washington and Democratic Washington. Some of my friends have spent most of their lives in the business world saying the things I am trying to say now, but when they went to Washington they became most attached to the governmental functions which might better have been performed in the private sector, both profit and non-profit.

Absence of Responsible Leadership

I am troubled by the fear of decision-making which perhaps has always existed but which seems to be increasing. In some continental countries this fear of assuming responsibility is understandable because their legal concepts of personal liability are restraints in this respect. In some parts of the world there are whole cultures which militate against the assumption of responsibility by the individual because the cultural patterns are such that the individual seldom steps out and takes the initiative or assumes the responsibility that critical decision-making requires.

But it is different here. We don't have those concepts of liability and we don't have all-pervasive restraints upon the assumption of responsibility. Why is it that we have so much fear of decision-making, personal decision-making, so much unwillingness to assume initiative? In part, isn't it because of an accepted concern for security? In part, isn't it because of an unwillingness to stand up and be counted when the Congressional heat is on? In part, isn't it a feeling of wanting to be liked by everyone?

I have often thought that the phrase "the public be damned," while unfortunate in its original context, is one we might recast now. Perhaps it would take some of the varnish off of this notion of good fellowship or good human relations being carried to the end that one no longer wants to stand up and be counted, but rather wants to be numbered with those who will agree with him and will, above all else, like him.

I am troubled by the fact that little outstanding leadership is emerging from the public service. Think back to the bright young men of the early and middle thirties in the public service. How many of them today are national leaders—leaders of thought, leaders in public policies, leaders in their individual professions? Are they still in the public service or out of it?

Think back about the men and women who have been in government for a quarter of a century. How many of genuine national distinction can you put on your honor roll? The German civil service, with its many shortcomings, has been able to produce an Adenauer. The British civil service, for all of its shortcomings, has produced men of outstanding literary and philosophical competence.

I know of little very compelling intellectual leadership which has emerged from the American public service and gone on to other areas to establish that real leadership that national distinction suggests. Of the long list of distinguished American ambassadors over the last two generations, how many Joseph Grews do we find? I am deeply troubled because the public service, for all of the white hopes it represented in the time when it went through its own renaissance twenty-five years ago, is not yet measuring up to its full responsibility of producing genuine national leadership.

Where Have We Failed?

Why is all of this? The answers are undoubtedly numerous and very complex but I would like to suggest a few.

First, I would suggest that there may be a failure to understand fully the logic of a pluralist society. In a pluralist society we postulate truth as a many-sided thing and we postulate institutions which are designed to help us seek that truth. We have more than one political party. We have a free press, to encourage different expressions of opinion. Freedom of speech characterizes our society so there will be conflict and competition. Our governmental system provides

for a balance of powers among parts. All of these represent important values and hence several views of truth may come up through different channels and, in competition with one another, find a better truth.

It is from this notion of plurality that we have fashioned the role of private universities, of foundations, of corporations, of community service organizations. If this could be clearly understood by government people, much of this suspicion and distrust would give way to a more constructive and profitable relationship. The role of the public servant would become one of finding a viable relationship between the private and the public sectors to the end that we have the competition that makes for a greater good than we would otherwise have. This is most fundamental and something about which we cannot remind ourselves too frequently.

Part of the trouble may result from overselling the career concept. Isn't it true that a concept of a lifetime career tends to accentuate, perhaps disproportionately, the value of security? Isn't it true that it tends to destroy the sense of independence which comes from the consciousness of the ability to be mobile, to move from one part of the field to another, to move into the practicing professions and back to the civil service, or from the civil service into the practicing professions? Isn't it true that in many cases it slows up promotion, with the consequence that it does not stimulate the individual to think as creatively as he might otherwise if his opportunities for movement upward were more frequent?

Personally, I would prefer to see a calculated mobility, a situation in which we bring people in, and encourage them to leave, and then in many cases encourage them at later times to come back. We know that, even with the most receptive attitudes in Congress, in our legislatures or city councils, there are many fields in which we can never hope to set salaries that will be generally rewarding to people of unusual capacity. Shouldn't we then encourage them to come to us as young people, learn, go out and earn more where they can, and come back to us later? Many of them would. Some re-examination of the concept of the career service, with some calculated mobility built into it, might help us avoid some of these difficulties.

Too Much Blandness

Perhaps we have emphasized unduly the concept of political neutrality. As a director of the Michigan Merit System Association twenty-five or more years ago, I realize the heresy this represents. I'm opposed to active partisan activities. On the other hand, I would ask you if, in our purist zeal, we haven't discouraged the outspoken championing of policy, which is not necessarily identified with party. I ask you if, in doing so, we have discouraged our civil servants from thinking constructively, creatively, and often in opposition to both political parties and several public policies.

In our often rigid concepts of political neutrality, have we not tended to subordinate the civil servant psychologically, that is, in his own thinking, to the point where he becomes too much the servant of those who consider themselves the master? As a result of overemphasis on political neutrality, have we not let Congressional abuse grow to the point that it has? There is not much left of the balance-of-powers doctrine when a Congressional committee is dealing with even a senior civil servant.

Along with this concept of neutrality, perhaps inseparably related to it, is the doctrine of anonymity, coined for an atmosphere to which it was appropriate. The notion of the passion for anonymity spread from its application to the role of administrative staff to much of our public service. We cannot have consistent, determined, aggressive strength and keep it under wraps. Strong people are known people, not inconspicuous people.

Recruiting—For What?

Are we arousing the interest of students early enough in their professional planning? We do not go to the high schools and recruit among the high school counselors, among the parents, or among the students in the days when career-thinking is still exploratory. This suggests one of the incongruities of our recruitment practice.

Last year, the colleges and universities recruited 7,000 high school seniors for football teams. I am not opposed to football, but I am opposed to the fact that in the same year there were only 500 college seniors who were recruited to do professional graduate work in public administration.

It is not enough to wait for a new appreciation of the public service—a true and valid appreciation of all that it means—to come about. We need active, vigorous recruitment; not for *individual jobs,* but for the *public service.* Even if we did do this, however, would we not be handicapped by several important considerations? Here I come to my next point.

I am not sure that we, as personnel management people, are systematically encouraging individuality in our services. Are we offering the kind of atmosphere which is most attractive to the people among whom we should be recruiting? Can you say that your own jurisdiction actively cultivates the independent, thinking person; the specialized, but still highly constructive person? Do you hold him out as an example and find ways to reward him?

In your recollection, have you ever said in your staff meetings, "Now let's talk about the question of how we keep independent thinking and individuality alive in this jurisdiction in which ours is the responsibility for people?" When you audit an operations agency to determine the adequacy of its personnel management, do you ever deliberately appraise the appointing authority's efforts to encourage the independent, creative effort? Do you inquire about his program for the "unusual man?" How often have you reminded him that grey flannel may be the uniform of Foggy Bottom as well as Madison Avenue?

Get Rid of the Deadwood

I would ask, also, whether or not as personnel managers we are systematically clearing our services of people who are no longer growing. You may say, "Who does this?" In universities this is one of our major problems. In corporate organizations, the competitive situation often forces this; recessions often force it, but even there, as the institutions grow in size and complexity and take on bureaucratic patterns resembling yours and mine, the problem also arises.

How do we systematically clear our services of those who are no longer growing? Have we devised concrete ways for helping those who are in middle life and who have become deadwood to move some place else instead of sitting out the time until retirement? This is possible to do, especially in periods of high economic activity.

How much flexibility is there in retirement plans, as a way of clearing out those who are no longer growing? Can we keep the able old-timers, or do we have to defer to the bureaucratic rule of an arbitrary age because no one is willing to exercise the discretion to say, "John is still growing and Sam is no longer growing"?

Conversely, can we retire deadwood early if this seems necessary to growth within the service and ever-improving levels of performance? Do our retirement plans postulate the need for a wide range of discretionary judgments in cases at these extremes of the aging process? Aren't all of these important parts of the personnel function? Aren't all of these ways of keeping creativity alive? Aren't all of these means by which to use this human resource to the maximum?

Recruiting Methods Could Be Relaxed

Ask yourself whether we are not too rigid in some of our recruiting practices. When we talk about careers, we immediately think about getting the young people in and keeping them until they retire. The old doctrine needs substantial and calculated supplementing with a program for systematic recruitment of those in the middle or even later years of professional life.

There are people in industry today in their late forties and early fifties with twenty productive years ahead of them who would be happy indeed to give their remaining years to the public service because they are financially able to do so. Some of us who have tried this have found it a most rewarding area for recruitment.

May I remind you of a fact which must be of deep concern to you as users of the nation's human resources: There are twelve million women over age 45 who are unemployed today. In the group of twelve million, there are many with professional education and professional experience who are not used as they might be.

Personnel Men, Arise!

These are only a few suggestions about things that may be at the root of our difficulties. I would suggest more, but these are enough to illustrate my conviction that there

is a need for a fundamental re-examination of the character and vitality of the American public service. It seems to me that the personnel people are the people to undertake such a re-examination. We have been part of the reason for the difficulty. We are the people who are concerned with human resources as such; we are the people for whom human resources are a primary, if not an exclusive, responsibility.

It is not an easy task. Every institution in a complex society unconsciously and imperceptibly seeks conformity and resists change. Governments are neither immune to this nor are they our worst offenders. As personnel people, we should be the last to lend ourselves to categorization but the first to seek reappraisal and individuality. We should be the first to break with rigid concepts and to search for the vigorous, creative, and demanding minds of a new generation.

With this in view, what can be done? First, I think the organized public personnel people of the nation should initiate a far-reaching reappraisal of the role of the public service in American life. I am not unmindful of the fact that there have been efforts in this direction in recent years, but I would respectfully suggest that there has not been a fundamental analysis of this problem, that it is needed now, and that it needs substantial foundation support which I would urge you to seek.

This project needs the kind of leadership which can be drafted from every part of American life, as well as from among your own members. You must dig deeply into every community for the discussion of this problem or your findings will be another "study commission report" attracting respectful editorial comment today and languishing on academic shelves as another example of good intentions tomorrow.

Second, may I suggest that as this reappraisal is undertaken, you re-examine your own role. It would be helpful to have an opinion survey of what your clients think of you, the way in which you go about your work, the kind of genuine leadership you do or do not exercise, the quality of people you have on your own staff, and what the philosophy is that seems to motivate your activity.

Finally, may I suggest that you think of admitting to your function, admitting to your responsibility—the determining of the values that become the character of the public service—the value of independence of thought, of attitudes toward work, as such, and the attitudes toward the private, as well as the public, sector. When you re-examine your function, recognize the responsibility of keeping individuality alive, not in an idle sense, but in a fundamental sense. Recognize that in a complex society, the institutions will seek to mold behavior, to achieve conformity and to establish categories of behavior and performance. This is true of public institutions as well. This is the way in which complexity reduces itself to orderly norms.

On the other hand, it is part of your responsibility to keep alive the creativity of your service, to maintain the grinding edge of the public servant. Someone must be charged with the responsibility of keeping him an individual, fighting against conformity, fighting against categorization, seeking always to express that individuality. Out of this individuality—and out of it alone—the change, the creative response, emerges. It is your responsibility to help keep alive this concept. I suggest that it be admitted to the list of functions of the public personnel agency.

The Task Is Clear—The Time Is Now

Some twenty years have gone by since we reminded ourselves that public personnel cannot live by technique alone. Let it be a new admonition that we cannot discharge the personnel function unless we painstakingly appraise behavior which tends to become mediocre. Let us thoughtfully analyze the fundamental reasons for it and systematically seek new ways for a far-reaching program for its change.

When this has been done, public personnel management—which is, after all, the husbanding of human resources—will have fulfilled the fine but still unrealized destiny promised twenty-five years ago. Only then will the public service emerge as the creative, constructive force which a complex society demands—fundamentally and functionally effective on the one hand, and philosophically pluralistic on the other.

Two Decades of Federal Training Experience

James G. Stockard

While the training function has slowly gained recognition, its place on the personnel totem pole is still far too low.

As INDIVIDUALS and endeavors mature, it is necessary to do some stock-taking. Training in the federal service is maturing. Born in the late thirties, rushed to the scene to aid the civilian effort of World War II during the forties, and recalled to active duty during the Korean conflict of the fifties, training was finally issued a "birth certificate" on July 7, 1958, when the Government Employees Training Act (P.L. 85-507) was enacted.

This article sets forth what the writer believes to have been the significant successes and failures of federal training as a function, together with a conclusion as to its status and future.

Some Successes of Federal Training

The passage of P.L. 85-507 was a major gain. For the first time, public pronouncement of policy was made as follows:

> It is hereby declared to be the policy of the Congress: (1) that, in order to promote efficiency and economy in the operation of the Government and provide means for the development of maximum proficiency in the performance of official duties by employees thereof, . . . it is necessary and desirable in the public interest . . . for the development of skills, knowledge, and abilities . . . etc.

For the past two decades, the *Federal Personnel Manual* of the Civil Service Commission was almost devoid of material on training. Now it has an excellent chapter of guidelines and interpretative regulations which facilitate agency training operations. As a direct result of the commission's leadership, many agencies have improved and expanded their statements of policy and their forms and procedures for administering training and development programs.

Training has been given new stature by the Civil Service Commissioners. Originally submerged in the commission's organizational structure as a microscopic unit, it now enjoys the status of an "office"—the Office of Career Development. This office has a director who reports to the executive director of the commission and has national responsibility for the function.

Federal agencies are doing a number of things to strengthen their training programs. They are making increased use of interagency and non-government facilities to keep their technical, professional, and managerial employees abreast of their specialties. More attention is being given to the selection of employee development officers. Expanded annual reports on training accomplishments are now going to the heads of federal agencies and from there on to the commission for summation and presentation to the White House. As these reports circulate through channels, the training function gains more of management's attention.

Another gain through the years has been in the form of a corps of seasoned training specialists who have weathered the lean years when training had no status and was suffering many casualties. Countless individuals, many of them well qualified, left the teaching profession and tried with the best of intentions to embark on a career in federal training. They were decimated by reductions in force—indeed, they were often the first to go—or they left the field because they became thoroughly discouraged from trying to work where the climate for training was unfavorable and where they lacked the resources to do what needed doing. Nevertheless, as in all famines, there were scattered survivors and these are now seasoned training specialists occupying generally top training positions in the federal service.

From all of the experience in developing training programs, a number of benchmarks have been established. There are certain components for supervisory training courses which are tried and proven. Management intern programs have withstood the test. Orientation of new employees is established. Patterns for workshops, institutes, seminars, and training conferences are set. Visual aids are accepted as an integral part of training sessions. Solutions to the logistical aspects of training problems involving time, distance, and great numbers of trainers and trainees have been more or less standardized. Much useful training material has been added to the reference shelves.

Professional societies have made a place at their round tables and on their agenda for training specialists. And, significantly, as it was being developed all of this know-how on training has been shared with foreign nationals who have been chosen to activate public administration facilities around the world.

Some Disappointments in Federal Training

Training is institutionally a part of the personnel office in most federal agencies. This suggests that the training function is receiving its fair share of the "personnel dollar," along with other recognized functions of classification, employment, and employee relations. Unfortunately, however, this is not so. As the last function to come aboard, training has been given such staffing, ceiling, and funds as remained after all other functions were satisfied.

The writer estimates that the vital function of developing a man to his full potential is receiving only one-third to one-fourth as much as classification, and the same fraction of the funds allotted to employment. Training is one of four basic personnel functions; it should get a fourth of the personnel dollar less its proportionate contribution to the overhead of the personnel office.

Training has not had the "equal time" and attention of the personnel director. Personnel offices are beset with pedestrians, heavy telephone traffic, and other pressures from many angles. Personnel officers necessarily must lend an ear to problems of the moment, maintain the "open-door" policy, and reserve for later such long-range problems as the training specialist may present.

Too often, the harried personnel officer never has the planning time he needs and perhaps longs for. Manuscripts for training publications, issuances on training policy, layouts for training aids, and similar creative efforts of the training office must often wait weeks or months for routine review and approval. Then the training specialist's masterpiece must queue up again and wait its turn for printing money, graphics service, or other administrative considerations. Many training officers have waited for years just to get their agency to establish an adequate training room.

Perhaps the most disappointing thing of all about the training specialist's lot is the fact that there is no career ladder available to him. "Once a training specialist, always a training specialist" is the rule. Several significant studies in the federal service have shown that the personnel technician least likely to become director of personnel is the training specialist. The same studies have shown that the training specialist has more formal education appropriate to personnel work than any of the other personnel technicians. The number of federal personnel directors and bureau personnel officers who came from the training ranks can be counted on one hand with fingers to spare.

The pay of top training specialists is a far cry from the pay of their educator friends who render public service as school administrators at the local level. Many tax-supported superintendents of public instruction now enjoy salaries of $20,000 to $30,000 in systems with as few as 3,000 students. Top training specialists in federal agencies with up to a half million employees get between $10,000 and $13,000.

Summary and Recommendations

Training has made some notable gains in the first two decades of its existence in the federal service, even though during most of that time the function had to "travel by night" because it had no license. Notwithstanding the Government Employees Training Act of 1958, training still awaits its fair share of personnel resources.

Here and there, a federal agency has set apart its training function from other personnel functions or has given it parallel status. Examples include Federal Aviation Agency, Internal Revenue, National Security Administration, FBI, and the Foreign Service. The training programs of these agencies have generally prospered and achieved distinction. In the placement of the training function may well lie the answer to the future of training, if it is to be exploited fully as a management tool in the sixties.

Training specialists must decide for themselves where they want their career ladder to lead. Many are content, or seem so, to reap the deep inner satisfactions of training work and let their career begin and end there. Some should make a stronger bid for the top personnel jobs than they have made in the past. A few should use training as a stepping-stone experience and move from that into other management or operating responsibilities. Having proved the merit of their stock in trade, they should make some deliberate moves to consolidate their position and thereby help to gain for training the full recognition it deserves.

At about the time the dawn came for training in the federal service, the American Management Association president, Lawrence Appley, was advancing the classic concept: "Management is the development of people, not the direction of things." With the chant for increased efficiency and economy in federal operations constantly beating in their ears, staff officers of all federal agencies have a golden opportunity to put Appley's admonition to the acid test.

Specifically, federal officials can (1) focus more of their attention on the training and development of employees, (2) reexamine the placement of the training function in their organizational complexes, and (3) allocate sufficient funds to assure a full yield from their training efforts. If these measures are undertaken, the two decades of pioneering in federal training will have contributed greatly to the general welfare.

Your PPA 1961 Conference Calendar

Following are the dates and places of the four PPA Regional Conference Meetings in the Spring and the 1961 International Conference in the Fall.

Southern Regional Conference
April 19-22 — Atlanta, Georgia

Central Regional Conference
May 21-24 — Rockford, Illinois

Eastern Regional Conference
May 24-27 — San Juan, Puerto Rico

Western Regional Conference
May 31-June 2 — Palo Alto, California

1961 International Conference on Public Personnel Administration
October 1-5
Denver-Hilton Hotel — Denver, Colorado

The Effect of Tests

Forbes E. McCann

Examination scores are heavily weighted in human values more often than the average examiner is aware.

LORD ACTON, one of Britain's leading political scientists, gave us the famous quotation, "Power corrupts, and absolute power corrupts absolutely." We examiners wield immense power, and although I have not observed any corruption, perhaps it would be well to review some of the effects of that power, both on the candidates we put under the microscope and on the operating agencies to which we supply staff.

As examiners, we have become so accustomed to the effects of our work that we have largely forgotten how much power we do wield. In dealing with pieces of paper, applications, answer sheets and the like, we tend to forget that behind each piece of paper is a man or a woman with needs and aspirations, who is hurt or helped by our every action in examining.

We can, and do, change the whole life course of a candidate by passing or failing him. That able college senior who failed our entrance Junior Executive test might have become a department head in twenty years, had he passed. And that scatter-brained female, who somehow passed our Principal Clerk test, will give up a safe job in industry for a government job, from which she is sure to be fired.

If anyone doubts the power of examiners, let him think of the improvement in the work of an agency that results when the eligible list is outstanding and of the damage that an incompetent appointee can do before he is dismissed. Consider the cost of selecting, training, and uniforming a fireman who won't survive his probationary period.

What about the new policeman who was mentally unstable when he was hired and who killed an innocent citizen in a burst of temper? Who killed the citizen? Was it the policeman? Or was it in reality the examiner who failed to discover the candidate's mental illness? When a rookie detective brilliantly solves a heinous crime, should not some of the credit belong to the examiner whose superior test brought that detective to the top of the list for appointment?

Of course, these are extreme examples which do not happen every day. But we cannot escape the fact that examiners, by their daily acts, are exercising great power over people and programs. Should we not, then, lay aside our daily routine and devote some time to evaluating the effects of our tests on those who take them and those who use the resulting lists?

To Be Or Not To Be Concerned

When I was preparing this paper, I decided to ask several of my thoughtful colleagues to give me their ideas on the subject. One reply, from a man of many years' experience in one of our state commissions, expressed the view that we should not be concerned over the effects of our tests. He has permitted me to quote the following sentences from his letter:

> So far as the effect of our tests on candidates is concerned I ceased to be unduly concerned very early in my career. In the broad sense, which you have reasonably assumed, life itself is an unending series of tests. Whenever we fail to perform any of our vital functions adequately, we die. From the beginning of life, the individual must learn to adjust to his physical and social environment. Substandard or poor adjustments bring unpleasant results, such as discomfort, disapproval, rejection, illness, or disability. The measure of an individual's success in maturing as a human being is the extent of his success in coming to terms with his environment—mastering it when he can and learning to accept it when he cannot. The average child first encounters formal tests when he enters school. In some schools he must pass tests if he is to graduate. He takes tests for scholarships, to enter college, to

get a license to practice a trade or profession or drive a car. And speaking of driving, every holiday weekend three or four hundred drivers fail their road tests fatally. To my knowledge neither eliminating holiday weekends nor banning automobiles from the road has ever been proposed to reduce such failures.

The individual reacts to the testing situation in the manner consistent with the pattern of his adjustment to life. He will reject the results as invalid, attack the examiner as prejudiced, retreat into seclusion, swear off future attempts to pass, or accept his rating with understanding, depending on his knowledge and acceptance of his own strengths and limitations, and his characteristic habits of reaction. The examiner is not responsible for the personal adjustments of the individual nor for the patterns of the culture. If he cannot free himself from this burden, he should not be an examiner.

There is little question that the author was speaking of the effects of good, valid tests and that he would be gravely concerned over the effects that come from bad testing. However, I am not entirely sure that I share his philosophy, although disagreement is more one of degree than of kind. Certainly we must all be concerned over the effects of bad tests; but I believe that we should also be keenly aware of the good and bad effects that even the best tests may have.

Some of the effects are unavoidable. Unqualified candidates will fail and may be hurt in the fall. But there is much that we can do to ameliorate the unavoidable bad effects and to maximize the good effects.

Being aware should make us understanding and sympathetic, but we should not be upset emotionally when the effects are unavoidable. In this I agree with the statement just quoted, but if you are distressed by the effects you create, remember that often the effect you think is bad may turn out for the best. The man to whom you deny a career in government may be better off in industry. He might even—if I may be allowed the heresy—become a "captain of industry" at far more than a governmental salary.

Effect on Careers

Perhaps the most important effect of tests is the effect they have on careers. Good, valid tests contribute to the furthering of the careers of well-qualified candidates. This is just as it should be. We examiners perform our greatest service to society when we advance the careers of competent candidates. I would urge the examiner who is distraught by the harm his test can do to ease his conscience by thinking of the good he can do for the better candidates.

On the other side of the coin, a good, valid test may deny an unqualified candidate the further career he seeks. This, also, is as it should be. Our situation is like that of the father, spanking his child, who says, "This hurts me more than it does you." In actuality, denying the job to the unqualified may well be the greatest service you can do him.

An examining program that is intelligently planned to provide promotion from within can help build careers and high morale at the same time. Some years ago, the city of Philadelphia, instead of hiring trained entrance-level key-punch operators from outside the service (the usual procedure), decided to hold a "talent-hunt test" among its clerical employees to locate persons suitable for being trained to be key-punch operators. This is an example of how our testing program can build careers.

Just as good tests can further careers, so poorly devised and invalid tests may hamper them. Consider the havoc when a competent employee does poorly on a promotion test because the test was not really appropriate for the position, and someone else, poorly qualified, does well on the test and is appointed. Not only may the good employee not have another opportunity for some time, but consider the corrosive effects of his having to work for the less competent man who became his boss. If he happens to be in an agency where retirement rights do not vest, or cannot be transferred, he may be frozen in, unable to make a change because he can't afford to give up his pension accumulation.

Incentive To Study

Perhaps second in importance is the effect tests can have on the candidate's incentive to study and improve himself. Years ago, William J. Murray, Administrative Director of the New York Department of Civil Service, said to me that in his opinion, the greatest advantage of promotion testing was that it forced employees who wanted to advance to

study and broaden their knowledge in preparation for the test.

It seems to me that this effect of tests is too often overlooked and much of the possible benefit is carelessly frittered away. Putting a meaningful statement of the scope of the test into the announcement can encourage study and maximize this effect. Many examiners are reluctant to announce the subject matter to be tested, perhaps because they don't have time to find out in advance what should be tested and perhaps because they are afraid that announcing the scope will tie their hands. In my opinion, the benefits of study greatly outweigh these objections.

Regardless of whether you announce the scope, the subject-matter coverage and difficulty level of your test is a powerful motive to study and a strong influence in determining what employees will study. Tests that are consistently too easy create a feeling of complacency—an "I-know-it-all" attitude—and discourage studying. If you want your tests to encourage study, you do not need to make them too tough. Instead, a few difficult, thought-provoking questions will be much more stimulating than a very difficult test that discourages everybody.

Let me give you a concrete example of the use of a test to create an incentive to study. Some years ago, our fire commissioner became disturbed because so many of his higher officers had almost no understanding of good administrative procedures. They were fine firefighters, but weak in administration. When we were about to announce a battalion chief test, the fire commissioner told us of his problem. In the announcement, the description of the test coverage stressed administration.

I believe that few men actually studied administrative principles, partly, perhaps, because they just didn't realize how little they knew about administration. The written test included a large block of administrative questions, and the oral board, headed by the fire commissioner, asked many more administrative questions. As a result, the competitors suddenly discovered that here was a whole body of knowledge they lacked and were expected to have. The fire department became an excellent market for texts on administration, and studying them became the order of the day. I am sure that our test was a major incentive.

It is of more than passing interest that our colleagues in educational testing also use tests to activate students to learn. In a paper on "What Testing Does to Teachers and Students" given at the Invitational Testing Conference held by the Educational Testing Service in October, 1959, Dr. Ralph W. Tyler examined at length the ways that tests can create an incentive to study.

One of the major points that he emphasized is that "recall" questions, which require only recognizing a memorized fact, are far less useful in stimulating learning than "application" questions whereby the candidate is expected to apply his knowledge to solving a problem or predicting the result of applying a principle. This rejection of memory questions in favor of application questions is scarcely new to civil service examiners; but even so, it is far too often honored in the breach rather than the observance.

Another way that tests can stimulate candidates for higher level positions to grow in their jobs is by the use of what I call "projective" questions. I would define a "projective" question as one that is directly based on the duties, yet goes beyond the day-today work and forces the candidate to project his thinking into a new area.

In a test for promotion to director of a program division, an example would be "What changes in your law would you recommend to your department head to improve the efficiency of your program without in any way curtailing the service you give?" The likelihood is very great that section heads who would be candidates for the position have never thought about this subject before. And the chances are also good that they will continue to think about the question long after they leave the examination room. From this seed may grow an awareness in the candidate of how much he can learn about the job above him.

Some examiners have found that the candidate-contact involved in post-test review of the papers often provides a real opportunity to help the candidate realize what he needs to learn to be more successful. This may be a form of turning the other cheek, but it also pays big dividends in good will.

Candidates' Feelings of Inadequacy

One of the important effects of testing is that failure on a test often creates feelings of inadequacy in the candidate. In promotion competitions, failure rarely can be kept a secret, and if there is anything worse than feeling inadequate, it is having your peers know that you have been found inadequate. When this effect arises from a good, valid test, it is one of those unavoidable things; but if it arises from a bad test, the responsibility cannot be escaped. Some agencies try to soften this effect by using a euphemism for failing. No candidate fails; instead he is told his score was too low for inclusion on the eligible list. Perhaps this helps.

A very similar unfortunate effect is the candidate's disappointment of not fulfilling his aspiration. Both of these produce an emotional distress which most candidates can throw off rapidly. Others, however, are unhappy for a long time. Some will find failure a discouragement that keeps them from trying again which in turn can produce a "Who cares?" work attitude. Although the major remedy for this bad effect is within the candidate himself, it can be minimized by his acceptance of the test as "fair."

While we are talking about the emotional effects, perhaps it would be well to point out the bad effects that occur when the test, either by its coverage or its difficulty, surprises the candidate. This can cause him to freeze up and forget even the little that he knows. By announcing the coverage of the test, this can be avoided.

Not all candidates are so adversely affected by test failure. The mature, secure candidate often finds that failing a test helps him to a better realization of his own limitations; and if he cannot surmount them, he accepts them philosophically and adjusts to them. Perhaps it would be fair to say that the test failure is not really the cause of these emotional effects and that the real cause is the candidate's personality.

Sometimes this emotional impact of test failure can be used for a good purpose. An employee who is eligible to retire and who is no longer very productive but not poor enough to warrant disciplinary action, can sometimes be persuaded under the emotional impact of test failure to apply for retirement. I have seen this work many times thereby creating substantial promotion opportunities for better, younger men.

Good testing programs that offer promotion can be very effective in reducing turnover among the better employees and in increasing it in instances where you might welcome it. Bad or infrequent tests have the opposite effect.

Effects on Operating Departments and Management

While the effect of tests on candidates is important, the effects on operating department programs are even more important. I will not belabor the point that what affects the employees will inevitably affect the program. Study that increases competence, and emotional impact that decreases morale, affect the work program, too.

I need do no more than note the all-too-obvious fact that good tests that select highly competent employees and bad tests that select poorly qualified employees have a direct bearing on the work programs for which the eligibles are hired.

There are some mistakes often made by examiners that can produce bad effects on the program. One of these is giving a test that measures the wrong kind of competence. An example of this occurred in the selection of payroll auditor in one of the State Workman's Compensation Fund offices. The duties involve auditing the books of insured firms to make sure that they have reported the true payroll on which the premium is based. The position was classified as an accounting position and a good accounting test produced many high-level accountants, especially since the salary was high. In a short time, however, turnover skyrocketed, and management complained that the examiners were giving them accountants that were too good and who quickly became dissatisfied. A more careful job analysis disclosed that, in fact, the position required very little accounting knowledge and that accountants with less ability made better payroll auditors. Here a good, but misplaced, test was producing a bad effect.

A good test can sometimes educate management to a greater understanding of what competence really is. Sometimes manage-

ment just doesn't realize that the employees they have are nowhere near as good as what they could get. A good test that brings the best candidates to the top of the list forces management to hire good people. Management eventually discovers how good the new recruits are.

I remember a vivid example of this when the Tax Assessor's Office was brought under civil service. Before a test could be held, they hired many provisionals. When the test was given, many of these provisionals failed or were unreachable. As a result, the test was strongly attacked. However, the Tax Board ultimately could not avoid hiring some "outsiders" from the top of the list, although they moaned about "the wonderful provisionals who could not be retained." The payoff came a year or so later when the Tax Board volunteered the information that the new men were terrific, so much better than some of the old-timers. The test had brought about a new understanding of what competence really is.

Other Effects

Examiners must be wary of the unplanned effect. An unexpected result of using a good intelligence test for selecting policemen was disclosed by our psychiatric testing. We found that among the candidates who earned very high intelligence scores, the ratio of rejection on the psychiatric test was twice as high as that for persons on the lower part of the list. When you stop to think about it, this finding is not really so surprising. For a highly intelligent man, capable of holding a more rewarding position, to want to be a policeman hints at some emotional problem. This is an example of an unplanned effect, and had we not had the psychiatric screening to catch these cases, the effect that hiring unstable cops would have had on the program might have been serious.

The projective questions that I mentioned earlier sometimes have a beneficial effect on the operating program. I know that one such question on a test for a high-level position was later followed by changes in the procedures suggested by the question. I do not advocate that examiners should strive to change programs by the questions they ask, but I would say that provocative, timely, projective questions can start good men thinking, and that their thinking may well produce good results.

So far, I have been writing about candidates as though they were all promotion candidates. Let us look for a moment at the open competitive candidate whose only contact with his government is the one test he took and failed. In this case, the emotional impact and career effects mentioned earlier will not necessarily result in poorer work, but they may very well result in various expressions of dissatisfaction, such as complaints to the legislators who vote your budget and changes in votes that could alter your whole political climate. And if these drastic effects come home to roost, the effect on the test administrator can be very real.

Suggestions for Improvement

Before concluding, I would like to offer some constructive suggestions on how test administrators can try to counteract the bad effects and increase the good effects. First, take every means possible to learn candidates' reactions. I know of one test administrator who uses candidate-reaction report sheets from time to time to find out what his candidates think of his tests. Each candidate at a test is given a simple form on which he is asked to express his opinions about the test. A tabulation of the replies gives a valuable index of the effects of the test. Of course, if you *know* your tests are poor, this device is not for you.

Another way to learn about the effects of our tests is to establish close relationships with program officials. This will enable us to ask for and get their reactions as well as make it possible for them to tell us freely and honestly about their needs and about how our eligibles work out. Such information can be of immense help, particularly in counteracting bad effects quickly.

Perhaps the most important single step toward improving the effects of our tests would be a generous budget increase. I would say from my experience that foremost among the bad effects is the lack of funds and staff that prevents our preparing better tests and doing all the things we know how to do to improve the effects of our tests.

A suggestion for more money will be met with hearty approval by most examiners; but unfortunately, others control the purse strings. I feel sure that the appropriating officials would be more sympathetic to the budget requests of examiners if they were aware of the good effects that could be obtained and the bad effects that a too-tight grip on the purse strings can produce. This is an educational program and I hope that this summary of the potential effects can be useful in educating legislators to the need for larger budgets.

My other major proposal for improving the effects of tests is for increased professionalization. We have today two types of examiners at work. The first is the paper-pusher who, from lack of know-how or time, spends his efforts pushing applications and item cards around without any real comprehension of the effects of his work. The other is the professional examiner who has the training to see and understand the reasons behind the test techniques and whose work is in the broad perspective that makes for the best effects possible. Only as our calling has more and more professionally trained examiners who know what they are doing can we hope to minimize the bad effects of tests.

Do It Yourself!

My last suggestion is not intended to be entirely facetious. Examiners, like everyone else, tend to become so tied up in the day-to-day work that their sensitivity to the effects of their tests becomes dulled. At least once a year, every examiner should be required to take a test for some position himself. There is nothing in the world that makes an examiner more aware of the effects of tests than the experience of being the test-taker rather than the test-maker. This will surely give him Bobby Burns' "gift of seeing ourselves as others see us." It should refresh his sensitivity and perhaps even renew his humility.

If you have not had the candidate's viewpoint recently, try it yourself. You might be surprised!

Every Man His Own Editor . . .

[T]he business of rewriting our own first efforts is the essential practice in improving writing skill. There is one piece of advice which I think I have given before—pretend that your own writing is someone else's, if possible some dreadfully stupid person like your immediate boss. Somehow the mistakes that other people make seem to leap to the eye, while the mistakes we make ourselves remain obscured in various ways. One reason is that our own thoughts are so subtle and original that they take a good deal of expressing, whereas any fool could express what the other person is trying to say. And to prove it, we undertake to correct someone else's mistakes with the greatest alacrity.

Here are the points I have tried to make about correcting mistakes—look for consistency of style, the prominence of the essential ideas, and the coherence of structure of the whole piece of writing. Then blue-pencil like an enthusiastic censor.—H. K. Girling, Senior Lecturer in English, University of the Witwatersrand, "English In Your Service," *The Public Servant,* November, 1960.

Who Has January, 1961?

See page 144

The Public Personnel Consultant Abroad:

Lessons From Experience

Felix A. Nigro

The personnel man abroad must know his new environment before he can function effectively as a consultant.

Some twenty years ago when I was serving my personnel apprenticeship in Washington, we were thrilled to hear that one of the classification men of the U.S. Civil Service Commission had been sent to Puerto Rico on a special assignment. In those days, it was most unusual for the personnel man to serve overseas. Today, of course, no one raises an eyebrow when he hears that one of his friends in the personnel field has left on an overseas mission. It is not that such work has lost its appeal, but certainly it no longer fits in the category of the unusual.

The subject of this paper falls under the heading of "Administration and Culture"—that is, how cultural differences between countries affect administrative practices. Once never even mentioned in public administration textbooks, this topic is now fast becoming a standard chapter heading in such works. Personnel men are not supposed to go abroad without some appreciation of these cultural differences.

At this point, some hard-boiled practitioner might snap, "Well, give them this appreciation or whatever it is. Get the job done, and don't let's keep talking about it." The trouble is that the insights in question can't be taught like the principles of position classification or test construction. A foreign country is a new world to one who goes to it for the first time. Coming to understand enough about this new world to do an effective personnel consulting job is no easy task. In fact, in many ways it is incredibly difficult, and that is why we keep talking about it.

What, then, are some of the factors in the environments of the underdeveloped countries which make it difficult for them to put into effect the personnel practices of the more developed nations? Based on experience and readings, I will mention those which appear the most important.

The Surplus Employee Practice

(1) *Instead of the full employment we are accustomed to in the United States, large numbers of unemployed or at least a scarcity of private jobs, both of the blue-collar and white-collar type.*

By definition, and in painful reality, an underdeveloped country has little or no industry—which means very few jobs in private employment. A large part of the population may eke out a bare existence by tilling the soil, but thousands of others will congregate in the cities and towns where jobs are very hard to get. The rate of population growth in the underdeveloped countries has been fantastic, and this, of course, has made the unemployment problem an even more serious one.

What does all of this have to do with public personnel administration in these countries? A good deal, because their governments have had to step into the breach and make jobs for many persons who otherwise would have no jobs at all. As long as opportunities for private employment are very limited, the long-accepted practice is for the government to place as many people as it can on its own rolls. You can easily visualize what would happen to civil service in the United States were similar circumstances and traditions present.

Editor's Note: This article is based on a paper originally presented by the author at a round-table discussion during the Public Personnel Association's 1960 International Conference on Public Personnel Administration, New York City, October 23-27, 1960.

Of course, the long-range solution is industrialization and the creation of numerous jobs in private business. This will take many years, and in some underdeveloped countries it may never happen. Yet countries in exactly this situation will request and sincerely want the help of foreign technicians in improving their administrative organization and personnel practices *right now*.

Is there anything that the foreign personnel consultant can get done under these difficult circumstances? The lesson of my experience is that, if he persists, he will usually locate some areas in which at least some small progress can be made. Quick and wholesale conversion to merit practices is almost always out of the question.

Creating jobs in government to make up for job scarcity in private employment is not only the practice in Latin America, but is also common in the Near East and Asia. The case of Iran is frequently cited, because its government has thousands of surplus employees, many of whom work only on payday.[1] As the authors of *The Overseas Americans* point out, the American management experts made the mistake of approaching this as a problem in management, rather than social, analysis. They write:

> From the Iranian point of view, on the other hand, the surplus employee practice was not at all regarded as a problem. Payments to workers who do not work is the normal and economic equivalent, in underdeveloped Iran, for the more complex forms of transfer payments, agricultural price supports, and many, many others. . . . Until Iran develops a social security system and an economic development program that puts more of its trained people to work at useful jobs, it seems doubtful that any amount of administrative advice will solve the surplus employee practice.[2]

The suggestion has been made, however, that positive steps of an immediate character can be taken in the underdeveloped countries to remove or alleviate the surplus employee problem. Specifically, could not these governments launch road-building and even white-collar projects the frank purpose of which would be to provide work for the unemployed? This, then, would remove the pressure to give out the regular government jobs on a charity basis. The suggestion is a challenging one, but it remains to be seen whether the governments in question would be willing and able to institute such a program.

Is Positive Recruitment Possible?

American personnel experts believe in vigorous, positive recruitment, and rightly so in the American environment of a tight labor market and strong industry competition for the available manpower. Our motto is: Find the good candidates, don't wait for them to file their applications. I remember that years ago I was explaining the virtues of positive recruitment to a personnel class at the University of Puerto Rico. It so happened that one of the students was a young official from Ecuador. As I explained the need to meet industry competition, he smiled politely and then said, "But we don't have any industry in Ecuador!"

In his opinion, an intensive hunt for candidates for government jobs was pointless in his country. The job seekers were already there in numbers far too large to accommodate, so why invite trouble by carrying on recruiting campaigns? I am still not convinced that the concept of positive recruitment is completely without application to underdeveloped countries, but certainly it cannot be practiced in them in exactly the same way at it is in the United States.

Positive recruitment to me means filling the jobs through competition among the best available candidates. Even with numerous applicants, few or none may be qualified, particularly for jobs requiring skills hard to get in an underdeveloped country. The need to search out the best candidates still remains. But obviously it is much more difficult to insist on this principle in such countries than in the United States. Think again what the attitude of many United States government recruiters would be if they faced little competition from private employers. How far would some of them carry the concept of positive recruitment?

In the United States, the public service lacks prestige, and this explains another

[1] See, for instance, Richard W. Gable, "The Public Service in Iran," *Public Personnel Review*, January, 1961.

[2] Harlan Cleveland, Gerald J. Mangone, and John Clarke Adams, *The Overseas Americans* (New York: McGraw-Hill Book Company, 1960), p. 164. See also "The Bookshelf" in this issue for a review of the book.

error American personnel men are apt to make abroad. They assume that persons with schooling and professional training will avoid government employment. Frequently, just the reverse is true. Government service is one of the prestige vocations in the Near East and Asia; and, while the picture varies in the different countries of Latin America, such jobs frequently command much more community respect there than in this country.

We expect to find business careers at the very top of the prestige scale. But in reality, even in countries where opportunities for such careers exist, they may be far less desired than other kinds of employment. Indeed, Fayerweather not only finds the prestige of businessmen very low in Mexico, but he concludes from his researches that the same is generally true "in those large areas of Latin America, Africa, the Middle East and the Far East where industrialization is in its early stages and the standards of business conduct are set by the traders."[3]

All of this has a bearing not only on recruitment techniques but also upon all phases of the personnel program. From one important standpoint, it is fine that government service enjoys such a preferred status in many foreign countries. There is a negative side to this picture, however, which creates some serious problems. Instead of emphasizing job performance and service to the state, the bureaucracies which develop in some countries make job security their paramount consideration. As Riggs describes this:

> In many countries bureaucracy seems to lay down its own terms for survival. Seniority, patronage, strict tenure rules, part-time employment, corruption—these are signs that the dominant pressures on administrators are not directed toward production. They suggest rather the importance of connections with influential families and cliques, of timeserving, of catering to those with standing and money, and so forth.[4]

[3] John Fayerweather, *The Executive Overseas* (Syracuse, N. Y.: Syracuse University Press, 1959), p. 99. (Reviewed in *Public Personnel Review*, January, 1960, pp. 75-77.)

[4] Frederick W. Riggs, "Public Administration: A Neglected Factor in Economic Development," *Annals of the American Academy of Political and Social Sciences*, Vol. 305 (May 1956), pp. 78-79.

Needless to say, this does not make for a merit system even if the government service does enjoy prestige. Recruit and promote people solely on the basis of their ability and performance? Give equal pay for equal work? How can this be done if the local traditions require strong deference to age, seniority, and social position, as in Asia?

No "Machine Model"

(2) *No worship of efficiency as in the United States; lack of scientific management with its emphasis on improved work techniques.*

This point, of course, is implied in all of what has been said so far. It is, however, separately stated, because again Americans abroad do not stop to think about how heavily they are influenced by what Dwight Waldo calls the "machine model."[5] We assume that efficiency, as precise as clockwork if possible, should guide our efforts. This is a firm conviction which we cannot and should not shed. When we go abroad, however, we should realize that those reared in vastly different environments will have their own values and that efficiency may not be one of them.

People are efficiency-conscious if their environment and traditions require them to be so. An industrialized civilization creates the need for time schedules, deadlines, elimination of waste, and all of what we associate with efficiency. Not that we are so awfully efficient—for by any rigorous standard much of what we do is still far too haphazard—but we do accept efficiency as being just about as indispensable as fresh air.

Well, if yours is a non-industrialized country, with no heritage or anything like it of a scientific management movement, this "machine model" of efficiency naturally is not a part of your being. So if someone speaks to you about merit personnel practices and says you should adopt them in the name of "efficiency," you likely will not be impressed.

But what I have been describing with this imaginary colloquy may be becoming a thing of the past. All over the world the

[5] Dwight Waldo, *Perspectives on Administration* (University, Alabama: University of Alabama Press, 1956), pp. 30-32.

leaders of underdeveloped countries have embraced the goal of economic development as the means of coping with the problems of overpopulation and poverty. As these countries industrialize to some extent, many of their leading citizens adopt the values which characterize the developed nations. Having acquired at least a partial "machine model," they too begin to bustle about with notions of efficiency. That is why when we return to a country once largely underdeveloped but now well on its way to being industrialized, we no longer find it so refreshingly different.

At this point, I would like to clarify two things. First, I am not so bold as to predict that industrialization will succeed in all underdeveloped countries. Cultural and other barriers may prove too strong. Second, I do not mean that merit systems or improved personnel practices must always wait upon industrialization (Costa Rica, for example, is not industrialized, yet it has a working civil service system). It is only that, once the "machine model" makes its impress, the environment is frequently more amenable to administrative and personnel reform in the name of efficiency.

Ethnocentric Thinking

(3) *Deep-seated habit patterns, attitudes, and ways of looking at things which may make it difficult for a people to change its administrative and personnel practices.*

We enter here the fascinating but slippery area of differing national characteristics. I say "slippery" because it is so easy to make dangerous generalizations and to be unaware of our own prejudices.

Frequently, we hear the opinion expressed that such and such a national group possesses or lacks certain qualities and that this interferes with its progress in given areas. In fact, the outright statement may be made that it will never progress as much as countries whose nationals do not suffer from such limitations. This is not racist reasoning, because it does not assign the alleged shortcomings to racial origins. Rather it finds the cause in "cultural traits."

Yet there is a basic fallacy in such reasoning because too often the assumption seems to be that some national groups possess desirable characteristics which others do not have at all. Fortunately, this kind of division of the world into "have" and "have-not" nations does not exist. As George C. Homans points out so well, national cultures differ profoundly, but only because they possess "in different degree characteristics present in all the societies of men."[6]

Let us give a few examples. It has been said that Latin Americans are more individualistic and less inclined to cooperate in organizations than Americans. I would agree with this as a general statement, but this does not mean that Americans themselves are always models of cooperativeness and team play. A common blindness is to project the best attitudes and practices in our own culture as the national "type" but to assume that the worst cases in a foreign country represent their national "type." This is what the sociologists call "ethnocentric thinking," and I have found it to be very common. Nor am I thinking of the American alone. Many foreigners I have known evaluate Americans in exactly the same ethnocentric way, and sometimes their stereotypes are more exaggerated than ours.

Speaking again of Latin Americans, definitely some of their customs and thought patterns stand in the way of civil service reform. As those things go, they will tell you this themselves; but they resent it if you, the foreigner, talk to them in the same vein. As just one example, many of them think it more important to help their relatives than to have an efficient public service. So nepotism flourishes, just as it does in other parts of the world such as the Near East and Asia where family ties are also very close. Furthermore, the individualism of the Latin American leads him to revere the "strong man," from which stems the evil of *caciquismo* (bossism). Latin Americans form strong attachments to their friends and do tend to do things, inside and outside of the government, on a personal basis.

Although all these things are true, some Americans see all of this in too exaggerated a light. Since when was it true that Americans themselves do not do things on a per-

[6] George C. Homans, *The Human Group* (New York: Harcourt, Brace and Co., 1950), p. 191.

sonal basis? Isn't personal politics far too prevalent in some of our government agencies? And are Americans really democratic-minded and group-oriented as supervisors by comparison with Latin Americans who in one view are typically authoritarian and self-oriented? I see no evidence that the principles of democratic supervision have won out and are generally practiced in both government and industry in the United States. I would agree that these principles are probably observed to a greater degree here than in Latin America, but saying this is saying something quite different.

For one thing, it means that notions of our superiority in these matters must go down the drain. Everything is relative, and to some degree, at least, we possess the same limitations that we find in foreigners—and this also makes the picture brighter for the overseas personnel consultant. The foreign officials he works with can in time develop the requisite attitudes. It may be more difficult for them to do so than for us, but they can do it.

This, then, is exactly my analysis of the prospects for civil service in Latin America. The obstacles are formidable, but already Puerto Rico, Costa Rica, and Panama have civil service, and merit reforms are underway or pending in many other countries of both Central and South America. This could never have happened if civil service were basically incompatible with the Latin American character.

The Question of "Adapting"

Admittedly, the overseas consultant faces a baffling situation. On the one hand, he is expected to influence the introduction of at least some administrative improvements. On the other hand, he is peppered with a stream of admonitions about how he should "adapt" to the local culture. In practice, if he "adapts" too much, he may get nothing done. In some countries, the time may not be ripe for any kind of change, so this may be the only thing to do. This is expensive for Uncle Sam or whoever foots the bill, but it can all be charged off to "experience."

Such complete washouts are to my knowledge very rare. A little bit at least can usually be accomplished. I am afraid that what sometimes happens is that this question of "culture" paralyzes the consultant. He hears so much about it that he gives in too easily to the local pressures against change. I have found that some local officials are quick to object that they cannot change something because of their "culture." This may be true at the moment, but frequently it is not. This is simply a cloak for inertia, exactly the kind of thing consultants encounter in their work within the United States. "It can't be done, because it hasn't been done here before."

I recall listening some time back to one Latin American who held a top position in the UN technical assistance program. He was speaking to a group of officials of the different Central American governments, and so he spoke to them frankly as another Latin American. He said that in his conversations with the representatives of certain governments about their need for technical assistance, he frequently found that they saw no such need, arguing that their country was "different." Then he would say that's fine, but in just what ways is it different? This was the knockout punch, so to speak, because they usually could not answer the question except to repeat vaguely that they were "different."

In passing let me say that, being a Latin American himself, he could be blunt with them. A U. S. American using the same approach would likely have caused so much resentment that he might just as well have gone home.

Instability of Governments

(4) *Instability of governments; no sooner does the consultant seem to be making progress than a new regime comes in which sets the clock back.*

This is a very discouraging experience and happens all too frequently. I know that in Latin America one holds his breath when he is making progress in consulting work in fear that there may be a change in government. When these changes take place, the "ins" become the "outs," and the influential officials you were dealing with no longer have any say at all. It is like a movie or play in which the actors and the props all disappear and are replaced suddenly by a completely new set and cast.

But you get used to it, and happily there is an increasing tendency for the new governments to continue an interest in some form of technical assistance. Even with stable governments, ministers will come and go, so some change in personal contacts is inevitable. After all, the same problem exists, even though to a lesser extent, in the United States. I have yet to find the personnel man who can be sure that a new governor or mayor will be as sympathetic to civil service as the old one. All one can do is hope.

No Political Backing

(5) *Lack of the right kind of political leadership; no political backing for civil service reform.*

This certainly is not a peculiar condition of underdeveloped countries. It prevails in many states and local jurisdictions of the United States. Puerto Rico and Costa Rica were mentioned earlier. Why did civil service succeed in both? Largely because of the backing in each case of the leading political figure in the country at the time: Luis Munoz-Marin in Puerto Rico and Jose Figueres in Costa Rica.

Why doesn't Uruguay have civil service? It is one of the most developed countries of Latin America, but its spoils system is one of the worst. The reason is that its political leaders have not been interested in civil service reform. The newspapers have screamed their protests, and much of the citizenry has been aroused by the scandalous conditions of the public service. With very few exceptions, however, the politicians have been uninterested in doing anything about it. The patronage practices suit them, and they don't want to cut off this source of support. Of course, we have many such politicians here in our own country.

The Boys Are Marching

These are some of the lessons drawn from my experience and that of others. While it is true that we already know a good deal about these problems, the field of overseas personnel consulting work is still very young. The progress in obtaining administrative and personnel reforms is admittedly quite slow, but in many cases we have already achieved more than we thought we would.

Of one thing we can be sure: This topic will be repeated at future conferences of the Public Personnel Association and similar organizations. It will recur just like the standard items such as tests, position classification, service ratings, and so on. Overseas consulting has become an important part of the public personnel profession.

Editor's Note: For further reading on this topic, consult the U.S. Civil Service Commission "Personnel Bibliography" in this issue (pp. 134-138).

Please Find July, 1957!

See page 144

Putting Purpose Into Personnel

Arthur Levitt

A state department head reorganizes his operations around a positive, dynamic approach to personnel administration, with striking results.

PERSONNEL administration is a field that is undergoing rapid change and expansion in both private industry and government. The increasing need for skilled workers, administrators, and professional and scientific personnel has made the task of recruiting and training more complex and more demanding. Thus today, the proper functioning of personnel officers is vital to the well-being and progressive development of the organizations they serve.

In my own state of New York, this expanding role of personnel has become clearly evident in recent years. The defensive, routinized civil service processes of the past are rapidly giving way to positive and imaginative approaches to personnel problems. The change is as dramatic as the difference between old-style college football, with its methodical line plunges and punt exchanges, and today's professional games, with their wide-open passing attacks and fourth-down risk-taking. I might add that in the latter, bigger scores are run up.

One of the major purposes of the reorganization, which I put into effect, of the State of New York Department of Audit and Control was to create an organizational structure which would take advantage of modern techniques in the field of personnel and management. Instrumental in accomplishing this was the creation of a Division of Administration. This division comes under the Deputy Comptroller for Administration who oversees the effective management of all divisions of the department and gives general guidance to all departmental research. In the management field, he is assisted by an administrative director, who administers a coordinated program of organizations and procedures improvement, personnel development, budget preparation and control, and the provision of various general services to the whole department.

Results Have Been Encouraging

Through the reorganization, new management services have been added and old services revitalized. I believe the result has been a general improvement in the tone and efficiency of the department's operations. I must say I have gained a special sense of satisfaction from several advances made in our personnel program. Let me mention some of them:

1. We moved from a restrictive promotion system in which there were six or seven separate promotion units to a department-wide promotion unit, exclusive of the retirement system. This has greatly broadened promotional opportunities for our most capable employees and was a necessary prerequisite to a sound management-development program, on which I will later comment more fully.
2. Promotional examination announcements have been broadened and strengthened, and key members of my staff are working closely with the Civil Service Examination Division in the planning and preparation of examinations.
3. An extensive training program has been inaugurated. It covers such diverse subjects as report-writing for field auditors, supervision, electronic-computer programming, veritype operation, and seminars in public administration. We have equipped a classroom, which is now in almost continuous use.

This article was adapted from an address delivered by the author before the New York State Personnel Council, December 13, 1960.

4. The first issue of an employee news bulletin was published in December, 1960. This will meet a long-felt need, because the department's staff now exceeds 1400 employees, of whom some 200 are field people. The editorial staff of the bulletin is made up largely of rank-and-file employees and there are reporters in all major units of the department.
5. A new employee handbook has been prepared for publication.
6. Supervisors are now getting firm backing from the personnel office on such matters as dropping unsatisfactory probationary employees.
7. The departmental Merit Award Committee has been revitalized and more employees are making suggestions.
8. Effective classification work has led to several favorable decisions by the Classification and Compensation Division.

Toward Individual Development

My guiding principle in personnel matters is to encourage the fullest possible development of individuals. Peter Drucker, in his book *The Practice of Management*, says that to imbue an organization with a vital spirit requires that there be "full scope for individual excellence." I subscribe to this, not only because it is the best policy from the point of view of the department, but because it give my employees an opportunity to fulfill themselves in their jobs.

As this concept applies in actual practice to the executive and supervisory staff of the Department of Audit and Control, it is the foundation of our management-development program.

Staff Meetings

One of the methods I use to put this principle into practice is to delegate responsibility and authority to my top staff. I expect them to develop policy, make decisions, and execute their respective programs, consulting with me only on major policy and public-relations considerations. This consultation takes place individually or in biweekly staff meetings. I find that these meetings are not only effective in reaching decisions, but are fruitful in developing breadth of understanding through the interchange of ideas, experience, and attitudes of the participants. Represented around the table are men with backgrounds in professional accounting, investment, law, public administration, public relations and research. The interaction among these men, in my mind, is good "executive development."

This same process takes place at the divisional level through periodic staff meetings held by the deputy comptrollers and the administrative directors, who are their top career assistants. Similarly, bureau directors use this method where appropriate.

Staff Resources

Another phase of the program which I feel is worthy of comment is that of reviewing the higher-echelon positions due to become vacant in the next few years and "inventorying" the field of recruitment among the developing staff at section and unit chief levels. The inventorying is a continuing process because some employees keep developing or will suddenly blossom out; others are "discovered"; and new employees are recruited.

Several methods have been used to take stock of our staff resources. Last winter we distributed an "employee profile" form to all interested employees who wished to bring their personnel folders up-to-date as to their education, in-service or military training, experience in important civic work, membership in professional societies, and the like. Secondly, personnel folders have been reviewed individually in connection with evaluating employees for permanent or provisional promotions. Statistical analysis has been made from personnel records for groups of employees, such as field auditors. Perhaps most important of all, however, has been the face-to-face evaluation of many of our employees through our "promotion-board" system for selecting persons for provisional promotions.

Promotion Boards

I mentioned earlier our action in establishing a department-wide field of promotion. To implement this, pending the holding of examinations, we have developed a "pro-

motion-board" system under which employees are selected for advancement based upon their management ability as well as upon their subject-matter knowledge. All eligible employees are considered, personnel folders are reviewed, and nominations are received from supervisors. Candidates selected as best qualified for promotions to positions above G-14 are then interviewed by promotion boards composed of the deputy comptroller and administrative director heading the division in which the vacancy exists, the appropriate bureau director, and the Administrative Director of Management Services.

This system has a number of results. First, employees who are selected frequently move from one bureau or division to another, from staff activities into line operations, and vice versa. This develops and broadens them, both in the accounting field and in management skills.

Secondly, the employees who are not selected for a given promotion have been seen and evaluated by some of the department's higher officials. A two-way acquaintance is developed between a considerable number of the staff members and the top officials, which gives the latter a much more personal feel for organization than they would otherwise have.

To be called for a promotion-board interview is in itself a form of recognition for the employee; and if he is not selected the first time, he may be chosen on the second or third. I might add that a simplified objective rating form is used by the interviewers, which is somewhat like those used in civil service oral examinations.

Management Training

The department-wide promotion policies and the actual promotion of persons across bureau and division lines have drastically changed the outlook of many of our employees. They no longer think in the limited terms of their own unit, section, or bureau. They are starting to view the accounting and auditing roles of the department more broadly, and they are increasingly aware of the common need for improved supervision and management.

This has led to a "training explosion" in the department. We have had several classes in different levels of supervisory instruction conducted by our own "home-grown" instructors. A dozen employees applied for State Employee Traineeships in Public Administration. Not daunted by the fact that only two could be selected for the statewide program, a study group was formed to read and discuss the topics and books used in the program. Evening classes have been held in preparation for Chief and Head Audit and Account Clerk promotion examinations, with attendance exceeding 50 persons. Some of the attendees already hold positions comparable to the higher grade, but wish to take advantage of the opportunity to broaden their knowledge of the diversified programs of the department.

Report-writing courses have been run for field auditors and examiners of municipal affairs. Several administrators have attended electronic computer seminars, management conferences at universities, as well as professional accounting meetings. Even our training officer has stolen away from a busy schedule to a week's institute on training at Cornell, to visual aid instruction, and so on.

Management-Development Plans

I have just established a Management Development Committee in the Department of Audit and Control made up of the four deputy comptrollers, the department counsel, and the Director of Investments and Cash Management. This group will carry the present program even further. For one thing, it will administer a modest program of partial tuition assistance on courses taken by selected employees in either public administration or accounting. Also, it will seek to devise a simple system for employees and their supervisors to appraise their needs for further self-development through training courses, rotation, special assignments, and the like.

An ingredient that is lacking now in the state's personnel program is that of adequate incentives to employees for outstanding performance in their present positions. I trust that the special committee which the governor has set up to develop an incentive program will make recommendations that will fill this gap in a significant way.

If this happens, and if the departments are given some discretion in making awards,

I would visualize that our newly established Management Development Committee might be an appropriate instrument for administering the incentive plan.

Thoughts for the Future

This rather detailed description of personnel activities in the Department of Audit and Control has, I hope, demonstrated that I consider personnel administration a most important staff function. Furthermore, I believe that the function, as performed in my department, is making an important contribution to effective administration.

The revitalization of personnel administration that I have described has convinced me that some changes in state-wide personnel administration can make a valuable contribution to every department. I believe, for example, that there should be delegation of greater responsibility to operating departments for recruiting and promoting personnel. I think too that the state should show more courage and flexibility in the salary allocations and the classification of positions.

Finally, no personnel system, however good it may be, can perform effectively if the material rewards on which the system is based are inadequate. In this connection, we in the State of New York are awaiting with interest the results of an analysis of the salary structure of the state that is currently being made.

All of the matters I have discussed are, I believe, matters that are at the very heart of an effective civil service system.

Democratic Ratings in Civil Service Selection

Harvey O. Blum

A new dimension is added to evaluating promotional potential when employees rate one another and when subordinates rate their superiors.

THE TREND toward the democratization and decentralization of the management process has included a sub-trend toward more democratic methods of evaluation of personnel. Ironically, the pioneer studies in democratic selection of leaders were initiated in the most authoritarian of American governmental organizations, the armed forces. Approximately ten years ago, Drs. Robert Wherry and Douglas Fryer, two nationally respected psychologists, found that buddies in officer candidate classes did a more reliable and valid job of rating each other for leadership ability than superior officers.[1] Since then many experiments have been made of such ratings, also called "peer ratings."

A research seminar at the University of Southern California, under the direction of Dr. Wallace Best, has been studying the use of similar ratings in performance reporting. This seminar is part of the Mutual Rating Research Project. Mutual Rating includes supervisors rating subordinates, subordinates rating supervisors, and subordinates rating each other. Most of the seminar's evidence indicates that these democratic-type ratings are successful rating tools.

Pro and Con Forces At Odds Needlessly

Public personnel literature is silent on the use of such personnel-evaluation devices by civil service agencies. Rather, it has been headlining the trend of civil service agencies toward becoming an arm of management. The promotional-potential rating by supervisors is the device which has claimed the attention of public personnel examiners in recent years. The attitude expressed in advocating the use of supervisors' ratings is that supervisors are responsible for the success of their organizations; supervisors are in the best position to evaluate promotional potential; therefore, supervisors should have a stronger and more direct voice in promotional selection.

Employee opposition to supervisors' promotional-potential ratings is quite vociferous and general, if the sample provided at the Public Personnel Association's 1959 International Conference in San Francisco is typical. The employee and union representatives who expressed themselves in the session called "An Employee Critique of Public Personnel Practices" were definitely opposed to promotional-potential ratings by supervisors. They felt that civil service was established to provide a means of selection by other than supervisors and politicians. They felt that devices such as promotional-potential ratings subvert this purpose. They felt that supervisors often do not evaluate their employees on ability, originality, and independent thinking; that either they do not know who the producers are or they prefer apple-polishers to those who have enough brains and character to challenge them.

A suggested solution which resolves these opposing viewpoints is to balance the judgment of supervisors with judgments by fellow workers or subordinates by using Peer, Buddy, or Mutual Ratings. If these ratings are used in conjunction with supervisors' promotional-potential ratings, a truer, more complete picture of employee leadership qualities may be realized.

Various methods may be used to give weight to judgment by fellow workers or subordinates. References in the form of open-end comments or rating scales by both

[1] Robert H. Wherry and Douglas H. Fryer, "Buddy Ratings: Popularity Contest or Leadership Criteria?", *Personnel Psychology*, Summer, 1949.

supervisors and fellow workers can be shown to standard rating committees. Another method is to weight supervisors' and peer ratings into the total examination score in addition to, or in place of, the standard interview board ratings.

Peer Rating Successes in Los Angeles

The selection department of the Los Angeles City Schools has been experimenting with a variety of democratic ratings and references since 1950. Until 1957, all of these experiments were restricted to small groups of non-teaching promotional candidates who worked closely with each other under the same supervisor. These showed a uniformly high rank-correlation with supervisors' ratings or references.

In 1957, the selection department was faced with the task of examining journeymen in approximately twenty different trades for promotion to leadmen classes in each of these trades. These journeymen worked throughout the large Los Angeles City School District under the supervision of seven different foremen for each trade. It was decided that the usual format of separate technical examinations combined with impersonal oral boards was neither practicable nor desirable. A general written examination on supervision plus foremen's ratings were suggested as being appropriate; but these selection devices alone might lead to criticism by candidates and employee groups. Therefore, peer rating by candidates was added to the other devices.

This was putting democratic rating to a severe test. The candidates were spread throughout a large area and generally were able to rate only those within their own geographical region. They were given brief written instructions on how to rate and some oral instructions at the time of the examination. The foremen in each trade had an orientation meeting in addition to the written instructions.

In spite of the problems connected with ratings by many different untrained raters, most of the correlations between the ratings of the foremen and the peer ratings by candidates under their supervision in each area were high. These ratings and the scores of the candidates on the written supervision test were combined in a city-wide list for each trade. The results seemed to be generally acceptable to both management and the candidates. Only one candidate protested that his foreman's judgment of his leadership potential was biased. When he realized that his fellow workers agreed with the foreman, he hurriedly withdrew his protest.

Another subdivision of the Los Angeles City Schools that had experienced considerable unrest and agitation about its selection of temporary supervisory personnel, heard about the use of candidates' peer ratings and asked that this device be used in order to allay criticism. Here, too, the correlations between candidates' and supervisors' ratings were high. When a subsequent examination was given, this subdivision again insisted that peer ratings be used because it had been so successful the first time. The selection department was somewhat hesitant to use this type of rating again for fear that politicking or prearrangement of balloting might occur if this device was to be used a second time with the same group of men. These fears proved groundless.

Why Use Both?

The question has often been asked, "If the correlations between supervisors' and democratic ratings are high, why use both?" The answer is partly that supervisors should not relinquish their prerogatives in the selection process. Furthermore, employees' morale is higher if they have a voice in the selection of their supervisors. Not all such correlations at the Los Angeles City Schools have been high—and it is never known until they are made if they will be high.

Even when correlations are fairly high there are instances when a supervisor and peers will disagree about some candidate's potential leadership. More often than not, other employees may know about aspects of a fellow employee's personality which the supervisor may not be aware of, particularly if the supervisor is not in constant contact with his subordinates.

An example of this occurred in a promotional examination for the class of supervising janitor in high schools. One candidate, a head janitor who had had Euro-

pean military training in his youth, was highly recommended by the principal of his junior high school. The principal had been receiving heel-clicking, instant service from the head custodian, but had no idea that the other janitors at his school were being treated like privates in a European army by this man. Janitors and, subsequently, principals in others schools were aware of this situation. Consequently, although the candidate scored high in the examination, he was not chosen by any high school principal as supervising janitor. If ratings or references by subordinates had been used to supplement the principal's rating in this instance, a truer evaluation of the man would have been made in the examination for supervising janitor.

All Is Not Peaches and Cream . . . Yet

Of course, there is the danger that employees might vote for an easy-going fellow employee who would not work them too hard. This has not occurred in any noticeable degree at the Los Angeles City Schools. But because of this possibility, it seems best to use both supervisors' and peer (or subordinate) ratings. A more reliable and valid judgment should result.

As Dr. Wallace Best has said, "Needless to say, Mutual Rating cannot be regarded as a panacea for all personnel problems. Like other rating systems, it produces judgments rather than measurements and therefore must be regarded with the same healthy skepticism that should attend all products of human fallibility. But the results to date of experiences with Mutual Rating in business, governmental and educational organizations suggest new insights into group dynamics and seem to point the way toward more creative solutions in personnel administration."[2]

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[2] Wallace H. Best, "Some New Directions in Personnel Appraisal," *Personnel,* September-October, 1957, pp. 49-50.

Getting Dividends From an Employee Suggestion System

Eleanor Haines

Getting the full fruits of an employee suggestion system depends largely on management skill in harvesting the crop.

WHAT ARE the dividends to be reaped from the operation of an employee suggestion system, and what are some of the techniques for harvesting a bumper crop? These are two questions which will obviously be explored by any firm considering whether or not to establish a suggestion system. They are questions which can also profitably be revived in reviewing the effectiveness of an existing system.

Possible Dividend Goals

Some of the potential dividends are readily discernible:

1. The fruits of an effective system can enable an organization to do better work—produce a better product or provide a better service.
2. They can enable the work to be performed more efficiently, saving time and saving money.
3. They can provide better safeguards for people and property.
4. They can make numerous contributions to employee morale—through the improvement of working conditions as well as through the very act of inviting and respecting the individuals' contributions and rewarding those which further the team's objectives.

There are numerous other possible dividends too. For example:

5. The suggestion system can be an excellent feedback channel for providing management with a variety of information about problem operations, and sources of potential trouble or dissatisfaction. Thus the suggestion system frequently makes it possible to correct little troubles before they have a chance to grow into big ones, little annoyances before they blossom into full-fledged grievances.
6. The operation of the suggestion system can provide a helpful framework for constructive communication between supervisor and subordinate—by creating appropriate situations for conveying praise, helpful criticism, encouragement.
7. A management training dividend might be developed—through the participation of new or junior executives in the review process or on a suggestion system policy committee.

Selecting Appropriate Goals

In none of the foregoing examples, of course, is a suggestion system the only effective device for producing the given dividend—nor is it likely that in any particular organization a suggestion system could yield all of the possible benefits. It is therefore essential to focus on what dividends your agency can expect to reap from a suggestion system and to recognize those whose attainment is unlikely.

For example, there is understandably much greater potential for enormous money-savings through suggestions in an organization which manufactures things, or one which uses intricate and expensive equipment, or one in which a single operation is performed in great volume. So if your unit has few volume operations, don't look for tremendous dollar savings as the chief dividend from a suggestion system.

Likewise, if you already have a vigorous and effective safety program, or if you en-

Editor's Note: This article was adapted from a paper presented by the author at the Public Personnel Association's 1960 International Conference on Public Administration, New York City, October 23-27, 1960.

gage in no operation which involves potential safety hazards—or have no accidents—this particular suggestion system benefit may not accrue for you.

If none of the indices of poor or spotty morale exist, perhaps the operation of a suggestion system will have a minimal morale-boosting value. (Here are two signals, however, which indicate the desirability of installing, or overhauling, a suggestion system. One is if your employees never offer any suggestions for improving the operations which they perform, the equipment they use, or the surroundings in which they work. Another is if they do indicate sufficient imagination and initiative to make suggestions but these do not receive adequate consideration, or, if adopted, do not bring appropriate recognition to their authors.)

Armed, then, with a clear understanding of just which combination of dividends your organization can expect to derive from a suggestion system, you are now ready to design and administer an effective one. You are ready, that is, provided—and this is an essential provision—that you and your top echelon are convinced these dividends can be earned and are thus prepared to make the necessary investment, not only of money but of resourcefulness and of enthusiastic support, to assure that they will be earned.

Setting Up the Machinery

The number of possible variations of mechanics and procedures is astronomical, and again the appropriateness of each depends on the needs, objectives, and operating environment of the particular system. A kind of "parts catalog" of suggestion system machinery would be an invaluable aid for the suggestion administrator, but unfortunately "there ain't no such animal."

The closest thing to it is membership in a specialized professional association—and this I recommend with absolute conviction. There is NASS (National Association of Suggestion Systems) which has a number of local chapters; and there is a Federal Incentive Awards Association in the New York metropolitan area, which may have branches in other areas.

Through a variety of published material and through opportunities for exchanging shop-talk, such associations provide the individual suggestion system administrator with a vast array of methods and devices which have worked somewhere—and some insight into the sort of conditions under which such techniques do work.

Among the special topics studied and reported by NASS chapters, for example, have been: (1) practices in regard to eligibility—both who may and who may not participate, and what kinds of ideas are or are not deemed suggestion system material; (2) methods of evaluating suggestions with "intangible" benefits (those whose value cannot be expressed solely in terms of direct dollar savings); and (3) characteristic samples of adoption and non-adoption letters, with commentary on strong and weak points.

Interesting and unusual promotion pieces, forms, or procedural innovations reported by member organizations are also circulated to the rest of the membership. Out of this fund of available ideas the suggestion administrator must then select those which will work in his operation, and will serve its particular ends. He is the only one who can do this.

Some generalizations can be made, however, within the framework of the following highly-condensed and vastly oversimplified formula for achieving whatever dividends you are pursuing. First, seek ideas assiduously—continuously and emphatically. Second, handle all submitted ideas fairly and promptly. Third, use the accepted ideas wisely and reward their creators appropriately.

Seeking and Getting Ideas

There are hundreds of kinds and degrees of suggestion system promotion aimed at getting more people to contribute more and better ideas. These range from posters to personal letters, to special suggestion weeks with bonus merchandise prizes for all entries, to competition between work units, to messages in pay envelopes or on the paper napkins in the cafeteria.

Some organizations need and use very little promotion. Some feel that their more intensive or elaborate promotional efforts have been justified by the results. How much promotion is "adequate" will vary, of course, but here are a few basic principles.

Employees have to be told about the ex-

istence of the suggestion system and how it works. Sometimes the informational material given to each new employee includes a booklet describing the purpose and operation of the system. Sometimes the supervisor makes a discussion of the suggestion system part of the on-the-job orientation of his own staff. Sometimes a letter describing the system and inviting participation is mailed from the suggestion office a specified period after each new employee is hired.

Employees have to be reminded of the existence of the system and encouraged to participate in it. Perhaps the regular announcements, on bulletin boards or in the employee publications, about recent suggestion awards will be sufficient. Perhaps additional posters will help, or frequent mention by supervisors in their local staff meetings, or special campaigns aimed at a particular type of idea, such as those which reduce waste material, improve on-the-job safety, etc.

Employees have to be convinced that management attaches importance to the suggestion system and to their participation in it. The amount of publicity given to successful suggesters is one way they may gauge this. Another is the amount of ceremony involved in the presentation of award checks and the level of the person making the presentation. The mention of suggestion system activity in the company's annual report is an indicator of significance. So is inclusion of questions about the suggestion system in promotion examinations. So is the very manner in which the suggestions are processed—the degree of thoroughness, promptness, and impartiality.

The submission of ideas should be as easy as possible. The necessary forms should be readily available to everyone and the form itself should be as uncomplicated as possible, the instructions clear and brief. And the mechanics of starting the suggestion on its processing route should be simple—whether dropping it into a regularly emptied collection box or handing it to the supervisor.

Getting the Right Ideas

Assuming that you have fixed on a combination of techniques that attracts submission of a steady volume of suggestions, does this mean that you have an effective system? Of course it doesn't, because most of the dividends will come from those suggestions which can be accepted, can improve the company's operation, and bring credit to the employee. Therefore, an important objective in getting suggestions is getting the *right kind.*

The Port of New York Authority has consistently maintained an excellent volume of participation, but we have not been satisfied that our acceptance rate—about one in six—is all it should and could be. So we have begun to direct more of our efforts toward promoting, not sheer quantity, but greater quality.

Our approaches so far have been quite simple: using posters which suggest specific areas for improvement; publicizing in greater detail the best of the accepted suggestions; explaining in greater detail the reasons for non-adoption of suggestions; focusing some of the regular suggestion system articles in our employee publication on aids to successful suggesting. We think that some of the fruits of this so-far very low key effort are beginning to show. Comparing 1960's figures with 1959's, we find that the total volume has dropped, but that the actual number of acceptances, not only the acceptance rate, has increased. It has been the experience of many organizations, however, that they get a larger number and percentage of acceptable ideas by pushing hard for greater total volume.

Handling Suggestions

In the handling phase, the dividends fall into two categories: getting the greatest benefit out of the ideas themselves, and getting the greatest benefit out of the system itself. The decisive factor in the former is, of course, the review process, and the chief aim is to be sure that good ideas are not lost through hasty review or through by-passing anyone in a position to evaluate some ramifications of the particular idea.

This requires a great deal of insight on the part of the person who selects the reviewers—an ability to probe below the surface of the suggestion for possible additional applications or values which in many cases the suggester himself might not have realized.

The reviewers should likewise be encouraged to be alert to ways in which extension

or modification of the suggestion as it stands would turn it into an acceptable, or more valuable, idea. (In such cases, the suggester should still receive credit for the basic idea, though perhaps not as large an award as had he carried the thought all the way through.)

On the other side of the coin, it is important not to accept ideas on the basis of inadequate evaluation, only to discover after the award has been paid that installation would create more problems than it solves or cost more than it is worth.

Many—perhaps the majority—of suggestion systems follow the policy that no award is given until the idea is actually in effect. Others, including my own, pay the suggester on the basis of stated intention to install his idea by the department with authority to install it. We are, however, intensifying the follow-up on these accepted ideas in an effort to minimize the lag between acceptance and installation as well as the number of cases in which installation is never completed.

This is important because acceptance of ideas which do not really serve the stated objectives of the system tends to dilute the system's integrity of purpose, and this obviously will have an adverse effect on the attitude of participants. In addition, pride at viewing his own idea in operation is a proper part of a creator's reward and a stimulus to further efforts.

Channels and Contacts

Also contributing to the way in which the handling of suggestions affects the employee's feelings about the system—and, by extension, about management in general—is the kind and degree of contact the individual suggester has with representatives of the suggestion system.

In this connection, the choice of whether the submission and handling of ideas should follow the normal supervisory chain of command is significant. Which particular method you adopt depends on a weighing of the different kinds of values to be derived from each.

For example, having the suggestion go straight from employee to headquarters may have a favorable psychological effect on the former, but it could cause resentment in the foreman who feels this is an unwarranted circumvention of his authority.

Perhaps, however, a thorough examination of all the suggestion's merits may reveal that it requires circumvention of the normal chain of command; but on the other hand, this may involve sacrificing a helpful first-screening which permits much faster handling—acceptance or non-acceptance—of a significant percentage of ideas.

Lastly, the potential advantages of initial discussion between suggester and his supervisor, in terms of both improved suggestions and improved working relations, perhaps outweigh the potential danger of real or imagined bias within a unit or inequities among units. Size and dispersion will have some bearing, too.

The majority of companies with suggestion systems have worked out some degree of compromise, which can be categorized as "partial identification." This means generally that the suggestion system office knows who the suggester is but the reviewers and evaluators do not. Only when an idea is accepted is the suggester's name announced; through all other steps, the suggestion office is the liaison and contact point.

In our program, acceptances are handled through the supervisory chain, so that the favorable effect of giving an award and praise can accrue to the immediate work unit. When ideas are rejected, on the other hand, the suggestion office notifies the suggester by sending a letter to his home which explains the reasons for non-adoption. This tends, of course, to channel dissatisfactions with the suggestion system toward the suggestion office—which is desirable, since we have more direct control over the positive climate and policies and measures which can counterbalance the dissatisfactions.

Employees are encouraged, for example, to call us at any time for information, either about the general policies of the system or about what is happening or has happened to their particular ideas. They obviously recognize the invitation as sincere because they do take us up on it. We have also apparently earned their confidence in the fairness of the system because of our readiness to hear and respect their dissatisfactions and to reopen a suggestion for consideration if it seems warranted. Each of these contacts is an

occasion for reinforcing the employee's general faith in the system, as well as for encouraging his greater, and more effective, participation in it.

Using and Rewarding Ideas

The real dividends of a suggestion system are, of course, realized only upon the adoption of the good ideas gathered through the system. It is at this point that production or materials costs are cut, that work surroundings become safer or more efficient, that operating or control procedures are streamlined. It is also at this point that the suggestion system's impact on the attitudes and feelings of employees is sharpest. The assiduous solicitation and respectful review of employees' ideas will continue to have their own favorable impact only when the cycle is completed by the emergence of a useful "product." And the rewards which accrue to the inventor of the product serve as a stimulus to his own and others' further efforts.

The two important rewards are recognition and money. Or perhaps it would be more accurate to say that the important reward is recognition *and* money—since the experience of a number of suggestion programs has indicated that neither of these by itself provides sufficient satisfaction or restimulation.

Again, from one company to another there are numerous techniques for providing both. Methods of determining monetary awards range from decision by the suggestion administrator to voting by a committee. They may involve elaborate charts with points for such intangibles as amount of ingenuity shown, breadth of application, etc. There is generally a percentage relationship, sometimes on a sliding scale, between anticipated savings and the award to the suggester.

The calculation may be made on the basis of gross savings, or of net after installation and administrative overhead costs. The period of savings ranges from one to five years. There may be provision for re-evaluation of savings and possible supplementary awards. Neither the precise method used nor the amount of money which the suggester receives is as important to him as the conviction that they are fair and consistent.

The amount and nature of the recognition and publicity he receives is similarly far less significant than their consistency and above all their sincerity. Ceremonious presentation of the award, announcements on bulletin boards, articles in the employee publications and releases to home-town newspapers—all can be effective. So can the knowledge that a record of successful suggesting becomes part of the suggester's personnel record, or mention by the supervisor in appraisals.

Whatever the particular devices used for calculating or presenting or publicizing the suggesters' rewards, it is the sense they receive of genuine regard and appreciation for their contributions which will in turn bring the greatest dividends to the organization—in terms of maintaining a climate of improvement-mindedness and a continuing flow of worthwhile suggestions into the system.

personnel opinions

IMPORTANT QUESTIONS of personnel policy and practice seldom yield "cut-and-dried" answers. The editors have posed the question below to several persons representing different points of view to give readers guidelines in formulating their own policies.

THE QUESTION

"In your opinion, what are the relative advantages and disadvantages of charging applicants a fee when they file applications for civil service examinations?"

Says JOHN B. WENTZ . . .

Administrative Officer, City of Beverly Hills, California

It is obvious, from the manner in which this question is posed, that there must certainly be two sides to the issue. There are, in fact, a number of very logical arguments on both sides. An attempt is made here, therefore, to list the relative advantages and disadvantages and finally, simply as an example, to indicate how the matter is handled in the agency which I now direct.

It should be said in passing that, if an attempt is made to evaluate the following pros and cons, this will have to be done not only on a practical basis but on a philosophical one. The fundamental question to be answered must be that of how to equate the idealistic philosophy of employing staff members solely upon merit against the pragmatic compulsion to accomplish the recruiting processes as efficiently as possible and with a low net cost to the taxpayer.

Advantages of charging a filing fee are these:

1. The existence of at least a nominal fee tends to eliminate the "marginal" or insincere job applicant who is not really interested in the specific job but is simply probing out of curiosity or because of some subconscious drive to "look around."
2. The existence of a filing fee, depending, of course, to some degree upon the amount, has a marked tendency to reduce the number of applications by weeding out the above type of applicant, thus reducing the amount of processing and paper work for a presumably overloaded personnel office. This leaves more time to concentrate on thorough analyses of interested candidates.
3. From a psychological point of view, the existence of a filing fee makes the transaction more serious and more meaningful to the applicant and indirectly adds to the status of the job and the agency.
4. Finally, from the very practical point of view, revenue from filing fees, while not offsetting the entire recruiting cost, can defray a measurable portion of this cost.

On the other side of the coin are the following commanding and logical arguments against the existence of a filing fee:

1. Although even private industry would assert that it searches for the most qualified workers, governmental agencies make the same claim. Furthermore, in most cases the publics they serve feel that they have an inherent responsibility not only to employ the best possible workers but also to permit persons who believe themselves to

be qualified for a position to have an equal and unobstructed opportunity to compete for employment.

2. A filing fee, depending to some extent on the amount, may become a hardship on the applicant. In fact, a fee of any amount may be a hardship on unemployed persons and might result in deterring well-qualified people from applying.
3. Particularly in a small agency, or in any situation where only one vacancy will exist for the foreseeable future, it might be considered unfair to require an applicant to pay a fee to apply for the job when, because of a large number of applicants, it is obvious that the chances of employment are 50 or 60 to one.
4. A filing fee, when required for highly technical or top managerial positions, may, contrary to the argument offered under "Advantages," tend to make the procedure seem undignified and picayune; thus, in respect to these highly professional persons it would be a psychological disadvantage.

The City of Beverly Hills has adopted a hybrid policy in an effort to steer a middle course and accord due consideration to both sides of the continuing argument. Applicants for all positions, other than those of department head and laborer, are charged a filing fee of $1.00. The filing fee for labor has been established at 25¢ and no filing fee is charged for department-head positions.

It is our belief that we have suffered no appreciable loss of qualified applicants as a result of the existence of this fee structure. We do feel, however, that, by discouraging applications from persons who are not really serious job seekers or who, with a modest degree of self-analysis, can determine themselves that they are not qualified, it has helped to reduce to some extent units of recruiting activities and testing. At this point, it should be noted that, in order to prevent an applicant from paying the filing fee and then being rejected by the personnel office because he lacks the very minimum qualifications, the personnel office checks all applications thoroughly before directing the applicant to the finance department to pay the fee and actually submit his application.

While revenue from filing fees is not great, it has been averaging approximately $1.50 per year per number of employees in the city organization; and it would appear that this is increasing, due, of course, to the status of the labor market in Southern California. The cost of accepting the fee and accounting for it, which is basically a very simple process, is in our judgment not material. The funds received, as in any well-organized municipal organization, are deposited in the general fund and are not considered to be revenue directly to the personnel office, whose expenses are provided for from funds budgeted annually from the general fund.

In conclusion, it should be conceded that the policy established for Beverly Hills represents a practical and expedient compromise of the advantages and disadvantages noted and seems at this date and under the existing circumstances to satisfy the situation here. But this should not be held out as a model or as the absolute right policy for other communities operating under another set of conditions. Only by recognition of the advantages and disadvantages, familiarity with the singular or peculiar aspects of the agency in question and the area in which it is competing for employees, and on the basis of careful judgment directed at the particular situation can one arrive at an enlightened decision.

Says ROY A. PALM . . .

Secretary and Chief Examiner, Seattle, Washington, Civil Service Commission

The question of charging applicants a fee when they file applications for examinations is one that we have not studied, except when it comes to the possibility of increasing it. Our city charter has carried a provision for charging fees since 1896 when civil service was adopted in Seattle.

The charter requires a fee of one dollar ($1.00) from every applicant. This applies to every position from the lowest to the highest. I feel that this is a good feature. It deters the person who is only curiously interested from filing an application when he may have no sincere intention of taking the

examination. Even with the fee we have many who file applications and then fail to appear for the examination. This causes us to prepare for and arrange space for greater numbers than actually show up. This is a waste of materials and rental expenditures for examination rooms in case of a large number of applicants. If a fee was not charged, this loss would be even greater.

I can only guess as to the additional applications that would be filed and "fail to appear" were we to withdraw the fee; neither can I say how many may have been deterred from filing because of the fee. I do not feel that many would be stopped from filing on this account because we have very few complaints, and those only from some disgruntled individuals who were looking for something to criticize.

I believe this dollar fee operates much like a five-cent fee for our registration cards. These cards are filed when an individual wishes to be notified when we schedule a certain examination. Until we made the charge we received and mailed out thousands of cards and comparatively few responded. Many cards were duplicates—at times as many as six or eight. Since the five-cent charge per card we have only about ten per cent of our previous numbers, and the response is just as good as far as we can tell.

This fee was probably originally intended as a source of income in the days when a dollar was a dollar. I feel that now it would be better to base the fee on a percentage of the salary; but even if this were done, the income therefrom would not be sufficient to amount to anything but a minor fraction of our costs.

All income from applicants' fees goes into the city's general fund and our expenses are appropriated from this fund—hence, there is no problem of accounting. We refund all fees when an applicant is rejected for lack of minimum qualifications; but we do not make refunds when they merely fail to appear for the test.

I believe the principle of a nominal fee is very good; and although a sliding scale could be used, in our case the work involved in revising the city charter would not be worthwhile. If it could be done by council ordinance alone, I would favor a sliding scale from one to five dollars based on salary.

Says WILLIAM J. MURRAY . . .

Administrative Director, New York State Department of Civil Service, Albany

Applicants for civil service examinations in New York State have been charged fees since the late thirties. The civil service law not only mandated the fee but also determined its amount, based on the minimum salary of the position to be filled. The fees ranged from fifty cents to five dollars.

In October, 1960, we were finally permitted to waive fees for all examinations conducted by the State Department of Civil Service. Long before 1960, however, we had concluded that the collection of fees was harmful to our recruitment program. Despite this conviction, there were two principal reasons why fees were not discarded years ago: (1) examination fees produced substantial revenue—about $200,000 in our peak year; and (2) concern that the abolition of fees would bring us much additional work from casual examination applicants.

Those who recall the thirties will remember that positions in the public service were attractive because of their stability and security. The small examination staffs of those days were inundated by thousands of applicants. In New York State, for example, we had more than 100,000 applicants for a clerk examination. It was felt at that time that the establishment of a fee would be a deterrent to the examination "shopper" who sought to qualify for a variety of jobs even though his interest in any one of them was small. It was also felt that those who used the services of the examining agencies should pay some of the cost. Even at fifty cents apiece, 100,000 applications produced $50,000, which offset the cost of hiring sizeable staffs of temporary examiners.

In the fifties and sixties, however, the situation changed and job security has become a minor factor in recruitment. The college and high school graduates of today whom we are seeking for our beginning professional and clerical positions are not particularly concerned with security.

The disadvantages of fees, based on our

own experience, can be summarized as follows:

1. In recruiting for hard-to-get professional personnel, we have enough difficulties to overcome without adding the further nuisance of an examination fee. A first-rate professional or technical applicant who has been cajoled into filing an application is often affronted when asked to pay $5 to compete in an examination in which he is only mildly interested. Other jobs are obtainable with much less effort and without cost.
2. An anomalous "image" of state service is created in the public mind. Welcome signs are hung on every door, but when one seeks to enter, a fee is exacted. Applicants have openly questioned the sanity of such a procedure.
3. As entrance salaries increased, the fees imposed by law also increased. We found ourselves charging college juniors and seniors a $4 or $5 fee. Five dollars can be a substantial deterrent to a college boy who is not very interested in the first place. A substantial fall-off between the number of applications filed and the number appearing to take the test has been attributed in part to the fee.
4. To a lesser extent, the $2 or $3 fee was a similar deterrent to the high school senior.
5. The administrative machinery for collecting fees caused delays in processing applications and lists. We received many applications without fees which required correspondence, thus causing annoyance to applicants, appointing officers, and ourselves. It made little sense to reject a good prospect for lack of a fee, but sometimes we had no choice.

It is difficult to state how many qualified applicants were lost because of the fee requirement. Casual evidence points to the conclusion that the number was substantial. We are convinced, moreover, that better-qualified candidates—especially those sought for critical occupations—were deterred from competing by the fee which was, to them, the ridiculous "last straw" in a process which they little understood.

Under our law and practice, examination fees went into the general fund of the state. The total fee collections were not reflected in the department's budget. However, we found that in the years when the budget was tight, no one would listen to a proposal which would reduce revenues by from $100,000 to $200,000. The adoption of the withholding process for collecting the income tax has now increased state revenue so that examination fees are no longer a major concern.

Only two of our employees were occupied full time in the fee-accounting process. Nevertheless, throughout the department there were people in the district offices, in the mail room, and in the finance unit who spent considerable time in handling and accounting for fees. Members of the administrative and examining staffs were frequently involved in correspondence—often with irate candidates—attempting to collect fees, to explain why they were required, or why refunds were not made as promptly as the candidate desired. Certainly our public relations were not helped. We refunded fees to those candidates who were not qualified to compete in examinations, but since the refunds were made by another agency, delays of refunds occurred.

Our identifiable saving when fees were discontinued was less than $10,000. However, considerable time of other employees was saved and made available for other duties. As a result of reassignment of duties, some additional savings were made possible in our personnel budget.

To date, we have had too little experience to be able even to estimate the effect of the fee waiver on our program since examination fees are only one minor element in recruitment. It is unlikely that we will ever be able to more than guess at the effect.

In summary, we feel that the elimination of the fees will be a positive aid in recruitment, will improve our relations with the public, will cut our examination processing time, and will not increase substantially the number of examination "shoppers."

Our present law is so written that if we find, as a result of changing conditions, that we are getting an unnecessarily large competition, we can reinstate fees. If this is ever

necessary, I think we would favor a nominal standard fee ($2 or $3), primarily to help defray the costs of conducting large examinations.

I believe we will be reluctant to reinstate fees. The question of whether it is sound public policy to impose on a qualified person who needs a job the necessity of paying a fee is a serious one. If he is one of the best-qualified individuals available, we should prefer to allow him to demonstrate this without having to risk the price of a fee.

Says LEW FAY . . .

Personnel Director, City of San Diego, California

What would happen if the City of San Diego began charging applicants a fee? Probably this:

1. Immediately our public relations would crescendo as employees and veterans, labor and management joined civic groups in chanting paeans and panegyrics outside our windows.
2. Applicants would ask why we hadn't thought of such a prestige-lifting and revenue-raising device before.
3. Letters from leaders in the public personnel field would congratulate us on our strengthening of the merit principle.
4. Poll-tax proponents would welcome us into their ranks.
5. Recruitment results would improve as test-takers applied to less progressive agencies, leaving us with the tractable, provident, and therefore better-qualified applicants.
6. Our budget problems would be solved, because of the new revenue and the smaller staff needed to process the reduced applicant load.

Ridiculous? Yes! And because it is ridiculous, because charging examination fees usually would have results dramatically opposite those ludicrously listed, this proposal should be rejected flatly and forever.

Over the years, I have seen public personnel administration evolve from a negative to a positive force, from an essentially clerical function (bogged down with a police-state paranoia) to a professional agency of service to management, employees, and the public. I think each of us must do all that he can to further this trend, and nothing to derail it.

In San Diego, we strive to establish salary and fringe benefits and working conditions that are comparable to those of local progressive employers. They don't charge applicant fees. We have removed unrealistic residence requirements, and we have modernized examining techniques. To find the best possible applicants, we recruit regionally and nationally.

Can any personnel director afford to limit the source of his employees unnecessarily or artificially? Do we dare say, "For five dollars (or one, or ten) you can apply, but the odds are 50 to 1 that you won't make it"? I think not—not even if we loaded it liberally with euphemistic goo: "Administrative and technical expenses, which were created in part by the prevalent wage-price spiral, necessitate that a minimal fee accompany applications for civil service employment."

Should we, then, let the shortage, high-priced help in free, and make the *hoi polloi* carry the load? I reject this as vigorously as I reject the poll tax. I don't want to leave the reader with the impression that we are bigoted about this, that we never think about fee-charging here in San Diego. We do—often—by pausing briefly, at least once a month, to give thanks that penny-wise economizers have never burdened us with such a plan.

Says ERNEST B. BODNAR . . .

Secretary, Civil Service Commission, City of Decatur, Illinois

In my opinion, the disadvantages of a filing fee requirement far outweigh any of its purported advantages. What are, to me, the basic disadvantages of a filing-fee requirement?

In the first place, a filing-fee requirement weakens the competitive position of a public jurisdiction in competing with other employers for the services of well-qualified personnel. Granted, the filing fee is generally a

nominal amount; nevertheless, this requirement is out of touch with the realities of recruiting for public employment under present-day conditions.

Most jurisdictions are, either through choice or necessity, ill equipped to compete vigorously with other employers for the services of qualified personnel. A good number of jurisdictions have just recently realized that they must be able to compete; few jurisdictions are actually meeting the stiff competition of other public and private employers for personnel, especially in the technical, professional, and supervisory positions. Under these circumstances, a filing fee is nothing more than a barrier to the effective recruitment of public employees.

In the second place, as a practical matter a filing fee is ill timed in the recruitment timetable. There is generally a lag from the time a position is advertised to the examination date. In Illinois, it is a minimum of two weeks.

The circumstances of an applicant can change during this period—for example, he may have found another position, he may have changed his mind regarding public employment, or he may not be able to participate in the examination on the scheduled date. The administrative costs involved in returning the fee to the applicant who does not participate in the examination are high, in relation to the nominal amount of the fee.

The exponents of a filing-fee requirement might argue that it is justified on the grounds that an application has to be reviewed in order to determine whether or not the candidate meets the minimum qualifications of the position before he is admitted to the written or oral examination. I grant that a review of a candidate's application is a part of the examination procedure; however, it is of little consolation to the applicant who wants his fee returned because he "wasn't allowed to take the examination."

Another argument in favor of filing fees is that they will tend to discourage the unqualified persons applying for the position. This is not, to my mind, a function of a filing fee. Dissemination of information about the position and its minimum requirements is a more positive approach to discouraging the unqualified person applying for the position.

If we must have fees in a recruiting program, I would consent to them provided the jurisdiction offered salary, fringe benefits, and working conditions which compared favorably with other public and private employers in the same general geographic area. In addition, since the examinee feels he is getting something for his fee only if he actually participates in an examination, I would have no objection to the examination fee on condition that it be required of all examinees who participated in a written, oral, or other suitable combination of examinations administered by the employing jurisdictions.

The City of Decatur has an examination-fee schedule based on Illinois state law. The maximum fee is $3.00 for a position having an annual salary in excess of $3,000. Fees are payable to the city treasurer up to the date of the examination, and examinees are required to produce their copy of the treasurer's receipt for use as their identification number in the examination.

Based on our recruiting experience for selected positions in the City of Decatur over the past year, I am inclined to feel that the payments of an examination fee is of little consequence to the candidate when the employing jurisdiction is able to compete successfully with other private and public employers in the same general geographic area.

In conclusion, it is my opinion that: (1) filing fees endanger a public jurisdiction's competitive position vis-à-vis other public and private employers who are in competition for well-qualified employees; (2) they are cumbersome to administer and difficult to rationalize in cases where the applicant does not participate in the examination; (3) adequate dissemination of information about the position and its requirements is a more suitable approach to discourage a person who may apply for a position for which he is not qualified; and (4) examination fees are justifiable in those cases where the public jurisdiction is successfully competing with other employers for qualified personnel in terms of salary, fringe benefits, and working conditions.

the bookshelf

The Overseas Americans. By Harlan Cleveland, Gerard J. Mangone, and John Clarke Adams. McGraw-Hill Book Co., 330 W. 42nd St., New York 36, N. Y., 1960. xv, 316 pp. $5.95.

Reviewed by

ELLSWORTH WOLFSPERGER
Chief, International Division
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The current debate on the success of American operations in foreign lands makes the appearance of *The Overseas Americans* timely indeed. Although observers in the past have pointed out the wastefulness and harm of any inept or careless behavior by American personnel overseas, Dean Cleveland and his associates at Syracuse University have assembled systematically the scattered data, and, having analyzed them, now emphasize the urgency of remedial action. It is no small achievement to be first in putting together a body of knowledge that can influence the destiny of the nation.

Of the more than one and a half million U. S. citizens abroad, over 100,000 are civilians working with U. S. organizations, of whom some 33,000 are government people, some 30,000 missionaries, and some 25,000 businessmen. The varying activity of those working abroad may be thought of as a spectrum, with the violet end of the spectrum representing deep, individual involvement and influence in the "internal affairs" of another nation, and the red end of the spectrum representing work under U. S. supervisors, with U. S. tools and methods, in what may resemble a U. S. enclave in a foreign country.

The problems and needs of the U. S. citizens working abroad—and their wives and families—were the subject of an extensive inquiry by the authors on which they now report. From this inquiry, which included a study in depth of 244 Americans working overseas, the authors have undertaken to distill the essence of what makes for success overseas. Their findings indicate certain qualities of mind and spirit that are particularly associated with effective performance in an overseas assignment. These are:

1. Technical skill. "The highest technical skill for overseas service is based on a breadth of education and experience that will allow an adaptable general practitioner to play a versatile role."
2. Belief in mission—". . . a sense of purpose and achievement. . . ."
3. Cultural empathy—". . . skill to understand the inner logic and coherence of other ways of life, plus the restraint not to judge them as bad because they are different from one's own ways."
4. A sense for politics—"The skill to sense the trends of which you are a part . . ." and ". . . alertness to the political consequences of everyday behavior at work and play."
5. Organization ability—"A talent for combining personnel and resources into dynamic, self-sustaining enterprises, an ability to utilize skills and forces to make the desired happen. . . ." A liberal use of short, concrete examples enhances the effectiveness of the definition and description of these elements.

In addition to the exploration of the elements needed for successful performance in overseas assignments, the authors present a program for action for the recruitment, selection, and training of such personnel. Although the general principles developed are useful for broad application, the suggested organized training approach seems to apply more particularly to the relatively small portion of the overseas Americans who are concerned with change within the foreign setting, who have at least a reasonable

degree of opportunity to use psychological insights in daily encounters, and who have a perceptible amount of influence in the shaping of the institutions they serve. This apparent preoccupation with the "responsible overseas workers" may explain in part the authors' finding as largely inadequate the present-day recruitment, selection, and training of personnel for overseas service.

Such integration into the affairs of the foreign country and such opportunities to exert influence do not exist for the vast majority of the Americans living and working abroad. For this latter group, perhaps one should be content to assure that each makes a helpful contribution to the image of America and Americans.

The book contains a number of statements of interest to the personnel man and the educator. One of these is the confirmation that knowing a foreign language is not all important. "It is a tool, not a quality of mind or spirit; skill in communication is no substitute for having something to say. . . . The enthusiasm for a foreign tongue, the willingness to work hard at learning it, is perhaps the most reliable and certainly the most measurable index to empathy."

Another is that training for one foreign area is not completely different from training for another foreign area. "Just as learning a second language is (the language experts agree) immensely helpful in picking up a third, so study and experience in one country help a person understand the culture and analyze the power structure of another."

A third is that orientation for overseas service should not be rigidly compartmentalized according to the work the trainees are going to do abroad. ". . . the elements of success—the appreciation of foreign cultures, the sense for politics, the institution-building capacity—are common to responsible overseas workers in all professional categories in all countries."

A fourth is that overseas service is not a new profession or (in university organization) a new academic discipline. ". . . our review of what American civilians are actually doing abroad does not suggest the presence of a new vocation; the picture is rather of familiar vocations being pursued in strange surroundings. Education [for] overseas service is not a new food; it is more like a new recipe for combining ingredients which already have an honored place in the academic cupboard."

Is the World Our Campus? By Walter Adams and John A. Garraty. East Lansing, Mich., Michigan State University Press, 1960. xi, 180 pp. $3.75.

Reviewed by

JAMES R. BELL
Professor of Government
Sacramento State College

This is an appraisal of the efforts of some American universities to purvey their academic wares to foreign nations under federal technical assistance and foundation programs. The authors have digested information and opinions from over 300 presumably informed Americans, Europeans, and Turks who were questioned by them in 1957 and 1958. They also examined official and private reports to find out how particular programs operated and to discover their strengths and weaknesses.

The programs were the business administration programs of Northwestern in France, Harvard in Istanbul and Lausanne, and Harvard and University of California (Los Angeles) in Turin; the English language program of Georgetown in Ankara; the Spring Garden automotive maintenance schools in Turkey; Nebraska's agricultural program in Turkey; and the public administration training programs of New York University in Ankara and the University of California (Berkeley) in Bologna.

The verdict? "We found," the authors say, ". . . that not all American universities (regardless of their prestige at home) are responsible purveyors of technical assistance; that many (perhaps most) professors engaged in overseas projects are far from ideal ambassadors; and that the university-administered and ICA- or foundation-financed contracts are not necessarily effective instruments for helping other countries."

Many of their findings are familiar to readers of *The Ugly American:* uncertainty as to program objectives, lack of planning, difficulties created by the language barrier, American failure to understand cultural differences, too many second-rate people, those who simply "ride the gravy train," and so on.

What may be new and surprising to many is that the university programs are said to have these typical deficiencies in full measure plus others. The authors found stubborn insistence that American teaching

methods be followed (the case method is particularly cited); junketing administrators who also administer poorly; and a readiness of the universities to "sell" any service even though in some cases they are not competent to deliver. The authors tell us, in short, that academicians are just like other Americans —and in some cases more so.

But what of the plus side? There is little solace here for those who contend that with all our faults we still export great quantities of good will and know-how, academic and otherwise. The Spring Garden program, N.Y.U. courses in shorthand, typing, and office management seem to have been quite successful. The remainder of the N.Y.U. program "was clearly a failure." The Nebraska program, "one of the best . . . observed, has had distressingly little effect." The Georgetown program "has had varied fortune." Italian academic and governmental people are ambivalent toward the California-Bologna project.

The business administration projects (because of American business achievements) "have fired the imagination of Europe and Turkey." The most successful of these programs, none spectacular, operate outside the regular foreign university framework.

The deficiencies can be corrected, the authors say, by better planning, good personnel selection, etc., but they conclude pessimistically: "Truly the world is not yet our precinct. Until it is, there will be little pressure for better overseas programs staffed by better personnel."

Canadian Public Administration: A Book of Readings. J. E. Hodgetts and D. C. Corbett, Eds. Macmillan Co. of Canada, Ltd., Toronto, Ontario. Distributed by St. Martin's Press, Inc., 175 Fifth Ave., New York 10, N. Y., 1960. xii, 575 pp. $6.25.

Reviewed by

H. M. MORRISON
Chairman, British Columbia Civil Service Commission, Victoria

Two professors of political science have collaborated in producing this book of readings on public administration. It derives its title from the fact that the "readings" mainly revolve around problems of Canadian government. Professor Hodgetts is from Queen's University in Ontario, and Professor Corbett was formerly on the University of British Columbia faculty, but is now at Canberra University College, Australia.

The editors feel that some knowledge of public administration is essential in fostering an intelligent "understanding of modern government and modern society." In their words, a study of public administration not only serves "to develop capacity for original thought," but serves as a means of liberal education "leading to knowledge of oneself and others, broadening the sympathies and freeing the mind from prejudices engendered by familiar social circumstances." These are bold claims, they admit, ranking public administration as a "humane study" on a parallel with literature, art, and philosophy, and "this is precisely the character which it should have."

The editors hope, in addition, that the readings will be useful to students in countries other than Canada, who want a general picture of public administration in Canada. It should serve all these purposes as it is the first such book in its field to use Canadian administrative practices and experience as points of reference.

The readings (52 in all) have been selected and arranged so as to indicate many of the problems currently faced by the public administrators. The first two sections, containing 12 readings, deal with the general theory and concepts of public administration. Here, classic statements from authorities from the United States and Britain, such as Herbert Simon, Luther Gulick, Leonard White, Lyndall Urwick, and Richard Warner, are given. There is certainly enough to spark constructive discussion and thought.

The third section, entitled "The Structure of Administration: In Practice," has 10 readings, all from Canadian public administrators and professors. They are pertinent to Canada showing how Canadian administrative agencies work. They also suggest that the vast array of departmental reports, parliamentary debates and papers, Royal Commission studies and the like, be made available to the student.

The section entitled "Personnel Management" should be of special interest to public personnel administrators. There are 19 readings, all but three from Canadian sources. The editors, in their selection and arrangement, have exhibited their breadths of view as political scientists. This treatment should be of immense value to the personnel technician in understanding the public ad-

ministrator who is faced with broader problems than the technician.

The editors have made and grouped their selections around the concept of balance as between the needs of the entire government and the needs and tugs of each of its various and varied parts. Being a Canadian book, this drama (of balance) is within the confines of the parliamentary system of responsible self-government.

One of the issues in Canadian public administration is the degree of centralization necessary. In personnel administration, there is a growing decentralization with the growth in political maturity, and the lessening fears of the various types of patronage. There is also, in Canadian government services, the enlightened leadership of the Civil Service Commissions and the Treasury Boards in maintaining staff control through cooperation with the various units of administration. In the personnel field there are illustrations of the tugs between the needs of position classification and personnel recruitment.

A few readings touch upon the rights of civil servants *as citizens*, and the restrictions imposed upon them because of their positions. The advanced handling of these problems by the British is outlined by an American professor, James B. Christoph of Ohio State University. The Canadian government's handling of the "loyalty problem" is also outlined through sections from *Debates* of the House of Commons.

Treatment is given to the handling of employee training, relations, and grievances in several Canadian jurisdictions. Through the various government documents, papers, and speeches, major aspects of the problem of government-employee collective discussions, or negotiations, or bargaining, are brought forth. These readings indicate that in such relations, Canadians are more advanced in their practices than Americans in similar agencies, but in general not as far advanced as the British.

The final section, containing 11 selections, deals with the administrative powers and responsibilities of public administrators. All readings in this section are about Canadian affairs and by Canadians. They generally bring out influences, and restrictions on the exercise of these influences, implanted in senior administrative positions; and also the dangers resting in authority which of necessity are delegated to administrative boards. Here, again, is succulent food for thought.

The book is adequately indexed, and at the end of each section there is a good list of selected references for further reading. It should prove of immense value to imaginative university teachers in political science or public administration. The editors have performed a service which was needed, and deserve sincere thanks from all involved in public administration. The book is highly recommended to students and administrators in other countries who want to learn something about public administration in Canada.

Municipal Personnel Administration. (6th ed.) International City Managers' Association, 1313 East 60th Street, Chicago 37, Ill., 1960. xiii, 414 pp. $7.50.

Reviewed by

FOSTER B. ROSER
Personnel Director
City of Philadelphia

Students of personnel administration, public administrators, and even seasoned personnel practitioners will find, in this training or reference text, much that will be of value or interest to each. Well written, practical in approach, and organized in logical sequence as to subject material, this volume ably serves those for whom it was written.

To the student, it will be particularly useful, not only because it is an understandable and practical treatise on the subject, but because it is perhaps the most comprehensive and down-to-earth treatment to date of personnel administration at the municipal, county, and, in great part, the state level of government. Public administrators will find that it is a valuable reference guide with respect to personnel practices, methods, and programs. There is much within it to interest the seasoned personnel practitioner as well; he, too, will recognize its value as a reference source since the text includes substantial coverage of programs that are more and more frequently being considered or adopted at the municipal level thus reflecting the broadening aspects of personnel management in government.

The new edition, the sixth, is a complete revision of the previous volume published in 1950. Written by experienced administrators and consultants, the purpose of the revised edition, as stated in the preface, is to bring up to date the most significant changes during the past decade regarding concepts of organization for personnel administration,

aggressive recruitment to meet shortages in the labor market, broadening of selection methods, training for city employees, recognition of the importance of motivation and morale in employee development, fringe benefits, and increasing acceptance of labor relations as a part of municipal personnel management.

Written primarily for those who are charged with responsibility for developing and administering personnel programs, it sets forth basic principles of personnel administration, illustrates those principles in the programs of cities and other local governments, and provides practical suggestions for carrying these principles into effect. Stated in another manner, the emphasis of the text is on the "how" of personnel administration. It is concerned with the day-to-day personnel activities and seeks to provide or suggest policies that can be applied by city officials who are held responsible for personnel administration whether they be in the personnel, operating, or executive departments.

Chapters covering the traditional bread-and-butter subjects of classification, pay, recruitment, examinations, placement, and performance evaluation treat the topics in such a way as to provide the reader with understanding and perspective. Yet at the same time, they offer detailed utilitarian approaches. For the person whose interest in municipal personnel administration is just beginning, the volume can be read as an elementary source; for the administrator or advanced learner, some of the more involved aspects and techniques of the subjects are covered to provide additional and needed information.

However, the text takes on an added value for all concerned with its treatment of a number of subjects still considered new or unaccepted, or about which little is or has been done in all too many municipal jurisdictions. These are the chapters that deal with public relations, employee relations, health insurance, life insurance, motivation, morale, safety, and training. The material in these chapters will arouse the practitioner to the realization of the degree to which so many of us have been standing still for too long or have been by-passed without realizing it. Whether or not one concurs with any or all of the practices covered, it should be obvious that he must be informed, and the authors have done an excellent job in bringing the subjects up to date. The chapters are well written, do not become too involved, and are amply provided with examples and references.

The discussion on the relationships of the public administrator or personnel officer with others with whom he comes into contact, either in or out of government circles, should be required reading. The chapter on working conditions and fringe benefits covers a whole gamut of subjects in which every administrator will from time to time become involved. A few of the subjects covered are retirement, social security, overtime pay, rest periods, vacation, sick leave, and holidays. Some are adequately covered; others are covered only to the extent that they merely whet your appetite.

By including as a portion of the last chapter a discussion on the subject of personnel research, the authors must have felt that by doing so they provided a fitting climax to the volume. It appears to this reviewer that its value is purely academic. Even so, the student or the public administrator certainly can be expected to profit by this most advanced, unchartered, and non-financed field in which even the sophisticated personnel administrator has been notably absent.

The authors have made the text much more interesting and useful by amply providing subject-matter definitions, examples and references, sample forms, appendices, and a selected bibliography.

Personnel: The Human Problems of Management. By George Strauss and Leonard B. Sayles. Prentice-Hall, Inc., Englewood Cliffs, N. J., 1960. xvii, 750 pp. $10.60 trade/ $7.95 text.

Reviewed by

PAUL M. CAMP
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U. S. Public Health Service

In a most interesting preface, the authors of this book make some statements which serve as an invitation and, indeed, as a challenge to be critical if the book does not live up to the expectations raised by the preface. To quote a few:

> Traditionally, personnel texts have emphasized description. . . . Or else, personnel problems have been treated as a series of clinical cases. . . . Personnel problems also have been regarded as falling within the province of one or another of various

specialties: industrial sociology, industrial engineering and management, industrial relations, or social psychology.

> We believe that this subject is broader than any of these approaches would suggest. . . . [W]hat we have tried to say in the chapters ahead does not fit neatly into such categories as "theoretical" or "applied." In one sense this book is "theoretical." . . . But in another sense it is "applied." . . .
>
> Our objective in writing this book has been, not to present a miscellaneous collection of information about research and practice, but rather to suggest a systematic, unified approach to the personnel problems of the business organization. We constantly invite the reader to consider the many ramifications inevitably involved in any personnel problem. We have emphasized concepts and analysis, the questions that must be asked, the data that must be assembled, evaluated, and weighed, and the techniques of administering workable solutions. Finally, we have stressed the criteria that must be exercised in judging the effectiveness of a solution once it has been applied.
>
> The answers we provide are not simple "do this" or "do that" propositions. In fact, in many areas we cannot even suggest answers; we can only try to frame the "good questions." We do, however, try to suggest a rewarding approach and an analytical framework, leaving for the real-life situation the weighing of variables and risks that must inevitably precede any final decision.

This reviewer was prepared to be disappointed. Could any book meet the specifications outlined? This one does! Clearly it was not written overnight. It is the product of careful scholarly study and analysis of personnel problems, of solutions both tried and proposed, and of unsolved problems in the field. The reader seeking a cookbook recipe for the answer to specific problems will not find it here. There is no pretense at the ultimate solution, the final explanation, or the pat answer. On the other hand, the reader is challenged. His attention is directed to the many areas in which there are unsolved problems and indeed to areas of personnel management where there are still frontiers to be explored.

"But," the reader may say, "we do not need to have our attention directed to more problems, we already have more of our own than we can handle. We need answers, not more problems." While there are not pat answers, study and analysis of the material in the text may lead to more satisfactory solutions to problems by directing attention to elements which must not be overlooked in arriving at a solution.

Gaps and shortcomings in techniques and methodology are highlighted, but the purpose is not simply to note such shortcomings but rather to provoke careful thought and analysis in the solution of problems rather than the blind application of a formula or the use of a "gimmick." The underlying philosophy seems to be that, as long as we are aware of the shortcomings in the techniques and methodology of the human problems of management and in their application, there is hope that we can not only arrive at better solutions to the problems, but we can also contribute to the improvement of the methods and techniques themselves and to the development of new ones.

The book is divided into seven major parts. Part One, entitled "Components of the Personnel Problem," includes a discussion of technology and job satisfaction and of formal and informal organizations. Parts Two and Three, "Supervision" and "Supervisory Skills," respectively, address themselves to problems of face-to-face supervision. "Organization," in Part Four, deals with the structure and functioning of organizations.

Part Five, "Manpower and Employee Development," includes under employee evaluation a clear discussion of the shift in emphasis from the rating of personnel traits to the rating of specific behavior. The importance of proper attention to the "also-rans" who are passed over when promotions are made is discussed in this part—an index to the thoroughness of the text.

"Incentives for Effective Performance" in Part Six covers many aspects of the conditions under which people will work more effectively. Typical of the analytical approach of the authors is the warning that—

> Unfortunately the unresolved problems in this area are still substantial. The techniques that have been developed do not provide precise, incontrovertible results. Nevertheless, the student of personnel should be familiar with the application of these techniques to the setting of workloads.

The text closes with Part Seven, "Management's Responsibilities," especially as it pertains to dealing with people.

The book is both stimulating and challenging and I recommend it highly. It is an excellent text for students, for practitioners in personnel administration, and for the general reader in the field of management. It is

well annotated and the frequent cross references to interrelationships among the chapters are extremely valuable. There are appropriate questions and case problems at the end of chapters.

Managing by Communication. By Willard V. Merrihue. McGraw-Hill Book Co., 330 W. 42nd Street, New York 36, N. Y., 1960. xiii, 306 pp. $7.00.

Reviewed by

JAMES D. KEYES
Budget and Personnel Director
County of Fairfax, Virginia

This is a book written for managers in private business by a practitioner of the communications arts in industry (for General Electric). It is the antithesis of Commodore Vanderbilt's "The public be damned." The thesis of Merrihue's book is "Do right voluntarily"—and let everyone know about it. He says ". . . communication is a process which both affects and is affected by the deeds and attitudes of management, on the one hand, and the employees and public on the other. It is essentially an interpretive process."

While much of the book tells how to outpoint the unions, and how business can become "acceptable" to the American public, the same techniques are adaptable to the public service. The agencies of state and local government already have much explaining to do to justify the rising costs of government. There is no more reason to expect the people to accept higher taxes each year, without explanation, than there was for them to accept, without criticism, the high-handed conduct of businessmen of an earlier day.

Managers in the public service are going to continue to be subject to growing pressures in the next ten years for higher levels of services of greater variety, on the one hand, and for greater economies as taxes continue to rise, on the other. The governmental manager who "does right voluntarily" and keeps the communication channels open, who listens, anticipates reactions, and sends out the proper signals (communications) to answer the questions before or when they arise, will do much to minimize his problems.

Managing by Communication is readable, but somewhat longer than necessary to get the message over. It is not apt to be read by many busy executives, but will appeal more to the staff man who already is knee-deep or more in communication problems. To some it will reveal the black-magic secrets of image projection; to others it will tell little new. However, it is a very good encyclopedia of the numerous ways a manager can let his employees and the various publics he deals with know what he is doing and why.

Merrihue starts his exposition with the fable of the African tribal chief, Ganduki, who was a great warrior and man of action, but inarticulate. After one great victory, he asked his medicine-man, Bo-Gobi, to give the victory speech upon the return home. So after hours of feasting, Bo-Gobi took the stage and with all the color of his profession, he related the tale of the battle and victory, after which he—the medicine man—was hailed as the leader and newly elected chief.

The moral is there for governmental executives as well as for businessmen: if there is a tale to tell, it should be told by those responsible for it. Governmental executives have too often been willing to let outsiders, some of whom are not even good medicine men, control the publicity, themselves speaking only when spoken to. In the expanding role of governments of all levels, the public servant must do more to get a better "image projection"—if such a phrase is suitable for the public service. The successful achievement of the goals of his program will be aided if he can do this. *Managing by Communication* should suggest to him more ways to do this than he probably could undertake at one time.

How To Build Job Enthusiasm. By Edward J. Hegarty. McGraw-Hill Book Co., Inc., 330 W. 42nd Street, New York 36, N. Y., 1960. xi, 257 pp. $5.95.

Reviewed by

DONALD S. MACRAE
Personnel Director
City of San Jose, California

Can you merchandise job enthusiasm as you would a product? Can job enthusiasm be put together on an assembly-line basis?

Author Edward J. Hegarty's answer to both questions is "Yes," and he has a world of experience and many examples to show

the reader how job enthusiasm can be built. In this 257-page book, the reader is presented with ideas and suggestions on how a supervisor can motivate an employee to have new interest in his job and to want to improve his work and position in his company or agency.

In simple, straightforward language, the author points to the tangible benefits on job enthusiasm and what they can mean to any organization. Like any good sales manager (or training director) he provides you with the means to help "sell" your "products" such as suggestions on indoctrination, communications, meetings, testings, planning, motivation, training, ratings, appraisals, and counseling. And these are practical, tested methods, for many hundreds of supervisors and managers have attended Mr. Hegarty's Ohio clinic on human relations in management and have contributed to most of the illustrations used in this book.

While the approach to government personnel management will, of necessity, require somewhat different treatment, the techniques, if applied with understanding and intelligence, should be just as effective for workers in government as in private industry. The book's suggestions and examples are closely connected with the world of production and merchandising but should not be shrugged off by the people in government as inappropriate in a setting removed from assembly lines and retail stores.

In order to be successful in a job, everyone must "sell" himself to someone else. As a supervisor, your effectiveness is judged by how well your group is working with you. This becomes more decisive as the size and complexity of the organization increase.

Job enthusiasm can be fostered only if we understand what people expect from their work. These job satisfactions are both tangible and intangible and they vary considerably between individuals. A person will work harder for a goal he has set for himself than for a goal set by another. The secret of success in creating job enthusiasm is to discover what each employee wants and help him see how his job can supply that want.

It is no coincidence that the concluding chapter stresses the fact that the "good supervisor" must be a "good salesman." He must get work accomplished through others and motivate the worker to be efficient and productive. To do this effectively he must be "sold" on his "product" and must "sell" his subordinates on the idea of wanting to do a good job for the employer. Even to the concluding sentences, Mr. Hegarty keeps on selling with the final admonition: "And that selling you do on your gang helps sell the boss. On you."

Human Values Where People Work. By Thomas G. Spates. Harper and Bros., 49 East 33rd St., New York 16, N. Y., 1960. x, 246 pp. $4.50.

Reviewed by

MILLER LEE MARTIN
Personnel Management Officer
Louisiana Department of State Civil Service

Many books have been written on the subject of personnel administration, personnel management, industrial relations, personnel relations, employee relations, human relations, or some specialized phase of this work. But few, if any, have provided an interesting and factual historical background of the development of this part of management activity. This book reviews the evolution of personnel administration in the United States over the last forty-five years.

On the basis of the author's many years of practical experience—which includes assignments in the federal government as a consultant, fourteen years experience with General Foods Corporation as Director of Industrial Relations, and later as Vice President for Personnel Administration, and membership on the faculty of Yale University—Professor Spates analyzes and illustrates the scientific approach to high morale and high productivity. He stresses the importance of industrial leadership which reduces the need for unions to intervene in areas of management responsibility. Emphasis is placed on the need for intelligent "leadership that uses its authority to insist that people on the payroll are treated in ways that appeal to their needs, dignity, and self-respect as individuals."

One unique feature of this book is the author's revealing tribute to twenty-nine pioneers whose qualities and practices of leadership in human values during the first half of this century have contributed immeasurably to the advancement of personnel administration throughout industry and the public service in the United States.

Over a 45-year period from 1913 to 1958, there have been a variety of changes in the treatment of employees. Some of the prin-

cipal of these, as observed by the author, are, for instance: the change from "employment by a crook of the finger" in 1913 to "personal interviews and test batteries" in 1958; from "indifference and discipline toward accidents" in 1913 to "impartial investigation, safeguards, and training in accident prevention" in 1958; from "sudden and irregular layoffs in seasonal industries" in 1913 to "a high degree of employment stability through changed attitude and better planning" in 1958; from "merit rating by gossip" in 1913 to "systematic performance review and appraisal" in 1958; from "the brushoff in treating emotional insecurity" in 1913 to "listening, counseling and psychotherapy" in 1958; etc.

It is important to observe, at this point, that the author does not go into detail about the mechanics of the various programs. Rather, he discusses the revolution in the ideology of management from a "generally brutal disregard for human values at the work place to a specifically refined and applied code of civilized treatment of employees as individual personalities . . . from payroll clerk to the executive vice president in the status of personnel function of general management . . . from ruthless exploitation to qualitative motivation in executive leadership."

He gives credit to the natural pressure of economic forces, the compulsion of legislation, and the bargaining of organized labor to the enhancement of human values and the development of the American code of personnel administration. The enactment of accident compensation laws, approved by twenty-two states in 1913, soon led to the addition of four new positions in the industrial management team. These included: the safety engineer, the training director, the employment manager, and the doctor of medicine. The manpower requirements of World War I gave tremendous impetus to the personnel movement, both in the military services and in industry, with a more formal approach to personnel policies and procedures.

Three important and lasting developments during the World Wars are credited to the efforts to improve personnel administration. These are: the training-within-industry programs, the advances in psychiatric screening for emotional stability, and the establishment in 1945 of the New York State School of Industrial and Labor Relations at Cornell University. The success of these programs, as personnel specialists know, have raised the level of personnel administration and many of the improvements have been adopted and expanded in both the public service and private industry.

Sound advice is given to executives and supervisors throughout this work. For example, on delegation of authority and responsibility to subordinates, which is accepted as the mark of a good executive, the author states, ". . . delegation is an expression of security and self-confidence on the part of the boss. Many bosses, even in top management, refuse to delegate responsibility and authority because of an inner sense of insecurity, real or imagined."

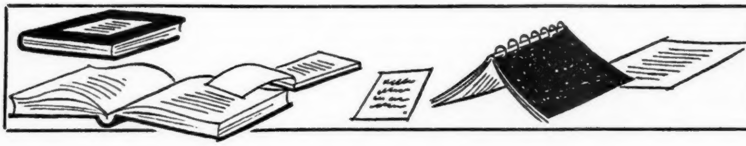
On morale and productivity, he reiterates that bowling and baseball or company picnics "should not be considered in the slightest degree as a substitute for the true substance of personnel administration, including high incentive leadership." Professor Spates also points out that the "happy" employee is not always the best employee, and supervisors should be thankful for having at least a few subordinates who are not satisfied but want to see improvement and innovations. "Success or failure will be determined largely by the mental attitude of employees toward their boss."

In his comments concerning unions, the author is particularly direct. In specific quotations from many union organizers and members over a period of many years, it is the consensus that the lack of adequate considerations by management of employees as individuals has been the basis of the success of union organization. In other words, with a good industrial relations program which satisfies the requirements of employees, including the non-economic needs, there would be little demand for union organization. This advice is very timely for public service agencies where union organizations are expanding to give employees protection in areas not properly administered by effective personnel programs.

Not even the strongest individualist can disagree with the author's summation of principles and performance which he indicates has been distilled from twelve principal milestones of the progress of civilization from the Mosaic Ten Commandments through the United Nations Declaration of Universal Human Rights. His conclusion is that the principle of individual personality is the most sacred because he believes the "concept of the individual as the fundamental unit of history, as the focal point of all modern personnel administration." His

citation of the principles of administration and of organization epitomizes the ultimate in effective leadership in personnel administration. The author concludes with a scholarly philosophy and optimism of the ultimate triumph of human values where people work without any exclusions because of race, creed, or color.

Human Values Where People Work, in the opinion of the reviewer, should be read by administrative and personnel specialists to refresh their memories on the progress made and the desirable principles of effective personnel management programs. This book should also be carefully considered by educators, both at the university and high school levels, with a view toward implementing their curriculums to include courses in personnel administration (presently so limited in school systems) so as to expand the knowledge and progress in this field. In addition to the principles outlined, specific criteria for professional standards for personnel managers, as in the cases of certified public accountants, attorneys, doctors, or certified life underwriters, could be assumed necessary to raise the level of the field of personnel management.



BOOK AND PAMPHLET NOTES

How To Communicate Policies and Instructions. Joseph Cooper. Bureau of National Affairs, Inc., 1231-24th St., N.W., Washington 7, D. C., 1960. iv, 348 pp. $14.75.

This book should hold considerable interest for personnel officials who are inevitably concerned with preparing clear, concise statements of policy and administrative actions. It covers techniques of planning, writing, illustrating, and publishing all types of written instructions. The first part, containing nine chapters, deals mainly with techniques of producing loose-leaf manuals and gives attention, among other things, to problems of resistance to change and ways of overcoming this tendency. Part 2 consists of three chapters on the how-to-do-it aspects of expository writing techniques. Part 3 provides a five-chapter treatment of the craftsmanship of written presentation as such, including the organization of ideas prior to writing as well as suggestions for expressing ideas briefly, clearly, and forcefully.

Federal Employees 1961 Almanac. Edited by Joseph Young. Federal Employees' News Digest, P. O. Box 689, Washington 4, D. C., 1960. iv, 156 pp. $1.00.

The new volume of the *Almanac* is considerably different from the 1960 edition as a result of the numerous changes in federal and postal employee benefits that have developed in the past year. Subjects covered in the new edition are new federal employee legislation enacted in 1960, new and completely detailed take-home pay tables, full coverage of health insurance program, new social security coverage, civil service retirement, and many others.

A Plan of Position Classification for Colleges and Universities. College and University Personnel Association, 605 South Goodwin St., Urbana, Ill., 1960. xiv, 336 pp. $5.00/ CUPA members: $2.00.

The 733 class specifications included in this volume are those in use, as of August, 1960, by the University Civil Service System of Illinois, a public personnel agency serving the state-supported institutions of higher education in Illinois. Covering all non-teaching positions below those involving direct administrative responsibility to the president or other top-level university official, the handbook should be a useful guide to others working in the college and university personnel field, since the specifications include a great many for positions that will be found on numerous campuses, large, medium, and small.

Governing New York City: Politics in the Metropolis. Wallace S. Sayre and Herbert Kaufman. Russell Sage Foundation, 505 Park Ave., New York 22, N. Y., 1960. xviii, 815 pp. $8.50.

An analysis of the process by which the city of New York is governed, this monumental work covers in detail the subjects of what New York politics is all about, who the participants are, and what strategies they use. The book is divided into four parts: "Background and Setting"; "Efforts to Determine Who Gets Public Office and Employment"; "Shaping Governmental Decisions"; and "Conclusions." Extensive bibliographies are scattered throughout the text, in addition to 18 charts, 68 tables, appendices, and an index.

Work Satisfaction and Industrial Trends in Modern Society. (Reprint No. 151.) Robert Blauner. University of California, Institute of Industrial Relations, Berkeley 4, California, 1960. 22 pp. n.p.i.

A survey of research on attitudes of workers toward their work with emphasis on those studies known as "job satisfaction studies." Discusses occupational differences in work satisfaction, the factors that account for the differences, and the methodological problems in job satisfaction research. 4 tables, 89 notes.

Basic Readings in Social Security. (Publication No. 28.) U. S. Department of Health, Education, and Welfare, Social Security Administration. U. S. Government Printing Office, Washington, D. C., 1960. vi, 221 pp. $1.00.

Containing 1640 references, 1000 of which are new or revised, this new edition of *Basic Readings* serves as a guide to the significant publications—books, pamphlets, articles, and periodicals—on the Social Security Act and the various programs administered under the Act, as well as those closely related to social security. Includes an author index.

Comparative Public Administration: A Selective Annotated Bibliography. (2nd edition.) Ferrel Heady and Sybil L. Stokes. Institute of Public Administration, University of Michigan, Ann Arbor, Michigan, 1960. ix, 98 pp. $3.00.

The rapid increase in literature on comparative administration is reflected in this second edition which carries 949 entries—representing approximately a 50 per cent increase over the first edition published in 1957. The authors do not claim that this is a complete coverage of recent contributions, but only a selection of those considered most significant and accessible. Selection, classification, and annotation follow the original edition but for slight modifications and the addition of subheadings which were not included in the 1957 edition. Table of contents and author index are included.

Addresses on Industrial Relations, 1960 Series. (Bulletin No. 28.) Bureau of Industrial Relations, University of Michigan, Ann Arbor, Mich., 1960. $4.50.

A collection of papers presented during 1959-60 at Conferences on Industrial Relations by the University of Michigan's Bureau of Industrial Relations for Michigan business executives. Each paper deals with areas of primary concern to managers responsible for personnel and industrial relations. Some of the topics discussed are the goals and methods of supervisory training, job evaluation and wage incentive plans, how to convincingly show employees the values of fringe benefits and benefit plans, how a boss can obtain favorable responses to his orders, etc. Most of the papers carry an edited transcript of the question-and-answer period that followed the presentation.

Pension Planning: A Data Book. (AMA Research Study 43.) Elliot Romm. American Management Association, 1515 Broadway, New York 36, N. Y., 1960. 79 pp. $3.00/AMA members: $2.00.

This report concentrates on presenting the primary characteristics of the retirement plans of 127 manufacturing firms, representing the coverage for 1,573,908 employees. In

addition to examining the findings on eligibility, vesting rights, benefit levels, and other major points, a chapter on "Personnel Policy on Retirement" discusses the practices of some of the companies which, recognizing the financial and psychological adjustments that must be made by the retiring employee, have within their programs the means for assisting the employee to a graceful transition from active work to retirement.

Federal Taxes on Benefits From Your Retirement System. (3rd ed.) Madaline Kinter Remmlein. Available from Interstate Printers and Publishers, 19-27 North Jackson St., Danville, Ill., 1960. $1.00, single copies.

A detailed guide on computing federal income taxes on retirement income under various types of retirement programs, including disability retirement, for both retirees and survivors. Although it is written primarily for retired employees, it contains valuable information for people about to retire and is recommended for every personnel man's shelf. It will be especially helpful to all persons doing pre-retirement counseling.

PERSONNEL BIBLIOGRAPHY

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If U.S. readers have difficulty in locating some of the items on this list, it is suggested that many of them may be available on loan from university libraries. Interested persons in Washington, D. C., may get assistance from the Commission Library.

Administration of Personnel Programs in Underdeveloped Countries

Civil Service Organization

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Chaudhuri, Muzaffer A.

The organisation and composition of the central civil services in Pakistan. International review of administrative sciences, vol. 26, no. 3, 1960, pp. 279-292.

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Who Lost April, 1959?

See page 144

personnel literature

abstracts of current articles

Rank in Man or Job? Both! Harold H. Leich. *Public Administration Review.* Spring, 1960.

Characteristics of the "rank-in-the-man" personnel system of the military service are found also in the "rank-in-the-job" system of the federal civil service. The personal-rank or "rank-in-the-man" concept emphasizes the individual and his qualifications, title, and status while the job-oriented or "rank-in-the-job" concept concentrates attention on the distinctions in job levels.

Advantages emerging from the personal-rank system are recruitment of persons of general competence for lifetime careers rather than of persons of specific competence for immediate vacancies; less emphasis on specialized experience or training for initial selection and advancement; systematic training for advancement; assignment of personnel to different posts without change in rank or compensation; acceptance by member of any type of assignment in any location; and careful screening for promotion and "selection out" for those not promoted.

The federal civil service recruits persons of high general competence for lifetime careers as well as experienced and trained persons for assignments above the entrance level. Through training and rotational assignments, management interns are prepared for higher level responsibilities in public administration.

In the personal-rank system, all members of one rank are considered for promotion to the next higher rank. Great weight is placed on an officer's entire record for promotion consideration. Promotions in the federal civil service are usually made to specific vacancies and considerable weight is attached to job-qualification requirements. Persons not good enough for promotions in the military service are "selected out" while civil service employees who are not promoted remain at their present grade.

There are other federal civil service practices which recognize rank in the man. Examinations are used to find a person to rank with the job. Jobs are reclassified upwards as individuals attract more responsibilities. Classification standards recognize superior qualifications as they are required and applied on the job. Temporary assignments are permitted to higher or lower positions. Employees are moved wherever needed.

The position concept is also applied in the rank-in-the-man military system. Officers advance as they demonstrate increased capacity. Experienced persons are recruited for specific assignments above the entrance level. Job analysis and classification is being increasingly used.

With allowances to permit emergency assignments and with broad training for future advancement, personnel systems should consider the man and the job to make the best possible match between the two.—LORETTA K. FUKUDA.

Measurements of Efficiency in Government and Business. M. W. Sharp. *Canadian Public Administration.* June, 1960.

Outside of Ottawa the view is widely held that the government service is less efficient than private business—a normal, healthy attitude for taxpayers. This attitude toward government expenditures is difficult to reconcile with the cursory scrutiny by Parliament of governmental organization and functioning.

The Canadian government has established more elaborate procedures to ensure efficiency of administration than has private business. These procedures, which are essential for the operation of a merit system, cannot be dismissed as bureaucratic red tape. They have their counterparts in large business organizations.

The efficiency of government cannot be evaluated by the same external criteria of profits and costs used for business. Efficiency tends to have a different meaning in these two settings. Governments can fore-

cast demand much better than business organizations can, and hence efficiency tends to be evaluated in the former case by judging whether unit operations can be improved.

The central problem is one of external-versus-internal motivation. In business the profit motive promotes efficiency; in government dedicated and talented people, who rise to top positions, provide the internal motivation. The great danger in governmental administration is inertia—a bureaucratic hardening of the arteries.

From the viewpoint of "efficiency," Canadian government compares favourably with business. The problem of maintaining and improving efficiency will become more difficult as governmental administration increases in size and complexity. There will always be scope for the activity of those trained in measuring the operational efficiency of governmental administration.—J. FRED DAWE.

Wage and Salary Surveys: The Occupational Approach. Morton Adelberg. *Personnel.* November-December, 1960.

Most salary surveyors know that their techniques lack perfection. Unreliability of key-job matching is the radical defect, because of unwarranted presumptions about classification, organization, and pay structures.

Relative job values are determined by a variety of economic, social, political, and psychological influences—few of which are accounted for by systems focused on work content alone.

An improved survey method, tested for two years, compares occupational groups rather than key jobs and provides relative data amenable to analysis. Cooperating source firms provide data on 23 key occupations covering 10 broad categories. Guiding definitions do not describe specific jobs, but *occupations* ranging through varying degrees of the same kind of skill and knowledge. Supervisory jobs normally are excluded. Salary information, listed from lowest to highest job titles in each occupation, is tabulated.

A second report lists for each job classification (at each level within each occupation) the number of employees, weighted average rates, actual lows and highs and the rate-range top and bottom. An "All Levels" column is included. Both reports are combined, using all-levels information only, in the published survey summary. A scattergraph of company and community combined maximum rates for all 23 key occupations, and similar plotting of combined company weighted averages vs. combined community median weighted averages, depicts pay relativity. Other statistical treatment is possible.

Advantages are many: information is more objective, a much larger sample and more realistic yields are possible, manpower utilization is indicated, raw data are easily summarized, errors in job content are avoided, stability is assured through recurrent use of the method.

There is a trend toward treatment of jobs as part of an occupational continuum. It is time to think of pay in terms of broad functions and occupational groups. (7 tables and charts.)—LEW FAY.

Management by Machine: How Much and How Soon? Herbert A. Simon. *Management Review.* November, 1960.

The management picture in 1985 will differ significantly from the present organizational structure. An automated man-machine system will be the order of the day. The question logically raised is: What will the role of the manager be in this type of society?

The occupational profile change is predicated upon the economic principle—the doctrine of comparative advantage. The determining factor is price. If machines are more productive and their cost is less, they will be used. On the other side of the coin, if the cost of labor in the marketplace is lower and manpower is more productive, men will not be displaced.

Workers will be classified into three categories:

1. A few holdovers in line-production performing tasks demanding flexible eye-brain-hand coordination.
2. A considerable group of men whose primary responsibility is to keep the system functioning in a maintenance capacity.
3. A considerable group at the professional and managerial levels who will be required for factory and office employment.

The automation of management—that is, the decision-making process—has two aspects:

1. *Operations research or management science.* This endeavors to apply mathematical and electronic-computing techniques to

business decision-making. The results have been satisfactory. The use of automation by managers who make continuum decisions to control inventory and production is an illustration.

2. *Heuristic programming.* This deals with programmed and unprogrammed decisions in which computers "handle nonnumerical tasks, use humanoid problem-solving techniques and sometimes include learning processes." Within the next ten years such computers will be used extensively by top management.

Characteristics of the manager's job in 1985:

1. He will devote more time to solving ill-structured problems.

2. He will become more involved in "systems thinking." It will be incumbent upon him to view "organizations as large and complex systems involving various sorts of man-machine and machine-machine interactions." Qualified persons in mathematical economics or servomechanism engineering are indispensable in management by machine.

Man's new role in the world of automation becomes subject to re-evaluation.—BABETTE G. GOLDSMITH.

The Methods Function—Staff or Line? Ronald O. Moore. *Canadian Chartered Accountant.* July, 1960.

Should changes and improvements in a company's systems be developed and implemented by line personnel, or by specialists in this type of work? Secondly, if methods specialists are the answer, are there condition under which they should take the bit in their teeth and "tell" rather than "sell"?

Line staff lack experience in analysing a methods problem and tend to think in terms of patching up the present system. On the other hand, a methods staff could develop the best system in the world for a given operation only to run into a blank wall of resistance in trying to implement the changes.

Obviously there is an optimum point between these two extremes where the specialized training of the methods man and the detailed knowledge of the operator can be used to complement each other. The most effective approach is often with a team of methods specialists and senior operating personnel. The former will be most active during the planning stages while the latter supply operating data and critical evaluation. Then the operating personnel take over the implementation of the changes while the methods staff iron out the kinks.

Such close collaboration is ideal. However, the question may arise whether, when the chips are down, the methods staff can implement their plans without necessarily gaining the concurrence of the line personnel. In such fields as EDP, top management may have to accept the proposed innovations on faith despite the effect on the lines of operating authority.

Since their work cuts across departmental boundaries, most methods practitioners believe their units should report as close to the top of the organization as possible. In an AMA survey the replies indicated that the comptroller or treasurer of the company was by far the most popular choice.

The methods department forms a valuable pool of trained personnel from which management is often tempted to fill vacancies in its own supervisory ranks. The decision-making function will always carry a higher price tag than the advisory function. However, both systems and equipment are becoming so complex that higher-calibre staff will be needed in methods work so that the salary differential between line and staff positions is likely to be reduced. Furthermore, if the calibre of methods staff remains high, it may well be that their recommendations will have virtually the effect of a decision.

This will be particularly true in a really big systems change where the effect will be felt over many departments. No one department manager is in a position to say whether or not the change is better from the overall company point of view. In such a situation, the interests of the line may be best protected by having the advice of the methods department referred to a committee of departmental managers who would be affected by the change. If they are not given a chance to approve the tools which they use, it is extremely difficult to make this accountability stick.—J. STUART STEPHEN.

Motivation—Who's Responsible? Theodore L. Cooper. *Personnel Administration.* September-October, 1960.

The first-line supervisor has limited control over such incentives as steady work, comfortable working conditions, a good

boss, opportunity for advancement, and salary. It is in the judicious application of these incentives that the first-line supervisor finds his role in motivation.

The role of management, as distinguished from that of the first-line supervisor, is to provide the minimum conditions or basic incentives. Without these, the first-line supervisor cannot be expected to "motivate" the individual. Basic incentives include a competitive pay scale, fairly administered; a variety of security devices; and some provision for recognition of the human factors in organization.

Given these conditions, the first-line supervisor still needs more than rote training in the human approach. There are too many individual differences among supervisors for management to expect to train them in humanization by the numbers.

In summary:

1. Motivation, to be meaningful, must be directional. It must provide for channelization of the individual's efforts along lines desired by the organization.
2. Management has responsibilities to develop and initiate personnel practices which will bring suitable persons into the organization, will imbue them with a general feeling of respect for the organization, and will provide the first-line supervisor with a variety of incentives which he is authorized to employ.
3. The first-line supervisor must be capable of evaluating his workers and utilizing his incentive tools in such a way that the best results are obtained.
4. Both management and the first-line supervisor must recognize the full implications of psychological and sociological incentives but also recognize that economic incentives still have an important, though limited, role in motivation.—GENEVIEVE M. LIND.

Personnel Management—Soviet Style. Edward McCrensky. *Personnel Administration.* September-October, 1960.

What are the distinctive features of the handling of men in the Soviet Union? Do Russian personnel concepts and practices produce good results in quality and quantity of output? Does an appraisal of similarities and differences between personnel management in the USSR and in Western countries, particularly the USA, have any value?

These are some typical queries about the human side of organization in the USSR. Comparative evaluation of national management behaviors, particularly where the institutional setting is uniquely different, are practically meaningless, unless viewed within the perspective of the national, cultural, economic, and political setting of the USSR.

Unlike Western countries, the Soviet economy is organized to marshal all of its resources toward the policy goals of the regime; their organizational hierarchies tend to parallel and inter-penetrate one another when activities are on a nation-wide basis; their organizational structure emphasizes the supreme importance to party discipline and political reliability; and, finally, as for most activities in the USSR, unified policy and purpose tend to integrate forms of expression in Soviet personnel administration practices.

A broad contrast of Soviet and American personnel policies and methods suggests that certain striking differences exist between them:

1. The non-agricultural work force operates within a single personnel philosophy with ultimate policy control vested in the interlocking directorate of the top echelon of the Soviet government and the Communist Party.
2. The art of personnel administration is considered to be a major instrument of the state for realizing its political, economic, and other major goals.
3. In the USSR, two distinct personnel management systems operate in parallel fashion: namely, the Communist Party and the governmental and economic administrative apparatus. Both systems have their separate career ladders and leadership and differ in the character of their operation and immediate objectives.
4. The compensation system of the contemporary governmental bureaucracy depends heavily on bonus and other incentive payments extended to all levels of personnel. Bonus pay may be up to 100 per cent of basic pay for overfulfillment of assigned goals.
5. Soviet manpower groups are especially characterized by high mobility in all directions, upward, lateral, and downward.
6. The trade union apparatus includes membership of both management and employees.

The comparison also raised some remarkable similarities:

1. In both countries there is heavy dependence on the professional manager with substantial power over the organization and heavy influence in determination of rewards and penalties for his staff.
2. There is a superficial similarity with Western governmental bureaucracies in dominance of party members in key official positions.
3. In both countries, job evaluation techniques are used for determining classification of positions for pay purposes.
4. In both economies, the professional managers tend to arise more from the middle and upper income groups rather than primarily from the working class.

The article discusses the personnel administration setting, executive recruitment, control of personnel appointments, compensation policies, incentive system, multiple job-holding, training policies, and trade unions.

Although Soviet personnel administration falls short of even its own ideals and criteria, it nevertheless contributes significantly to the effectiveness of the Soviet economy as it is marshalled—like a military establishment—toward the goals of the Communist leaders.—RUTH L. OLSON.

The Human Consequences of Office Automation. Leon C. Megginson. *Personnel.* September-October, 1960.

An evaluation of the probable impact of office automation on future personnel policies now can be made in the light of 12 years of experience. The sequence of exhilaration—then apprehension—has evolved in this realm as it did with acceleration in other areas. However, frustration, "in large measure the result of the optimistic and often unwarranted claims that have been made for these devices," has followed.

What started as "management's problem-solving fair-haired boy" has become "whipping boy" for both management and labor because expectations of savings from automation often were unrealistic. Inasmuch as "the invasion of the business world by computers will continue whether we like it or not," realistic evaluation must be made. The dire fear that human mental activities would be downgraded, if not eliminated, has failed to materialize. Rather, the consignment of routine paperwork to machines has permitted creativity and more effective utilization of manpower. Also, for routine as well as complex problems, the computer's operations must be planned in advance and interpreted finally by fairly high-level human thinking and decision making. Machine operations have challenged the most effective use of human thinking and judgment, and re-education of the work force has resulted.

A distinction between *unemployment* and *displacement* must be made when assessing the prediction that automation would produce widespread unemployment. Though displacement does result when employees fail to adapt to changed job requirements, generally speaking, transfer within the organization rather than unemployment is the result of the shift to automation. For many employees automation has afforded opportunities for upgrading from clerical to professional status, or for lateral transfers to competing organizations. Other employees, mentally or emotionally unfitted for new job requirements, have presented personnel relocation problems which are more apparent in employment recessions.

The overall effect of automation has heightened the importance of good human relations within the company. More recognition has been accorded employees. Many monetary "shock absorbers" have been provided by management for workers displaced by automation. Union efforts to organize this increasingly important segment of the work force have been intensified. Management has directed its thinking toward generalization. Managerial people with broader backgrounds and overall view are in demand to meet the challenges of new managerial problems. While exact standards for managerial and supervisory personnel have not yet been determined, this much as been proved: "these people must have an exploratory, research-oriented approach, and the ability and initiative to reduce work volume to a manageable level."

Needless to say, this highly skilled personnel has been in short supply, and management has been forced to train its own personnel or to "pirate" personnel from computer manufacturers, other users, or from university faculties. For many obvious reasons, re-training existing personnel is highly desirable. On the other hand, "pirating" personnel has had one favorable consequence—"programs for computer training

in the colleges, and even the high schools."

In conclusion, the initial effects of the computer revolution are beginning to give way to more permanent ones. After 12 years' experience, two truisms emerge. First, favorable results can be secured only by cooperation and long-range planning by management, labor, and society as a whole. Second, "far from eliminating human thought and control, the spread of computors will intensify our need for an alert, well-trained, flexible work force and will offer economic, social, and intellectual rewards never before possible."—HELEN THOMPSON.

Abstracters for 1961

The following members of the Public Personnel Association have accepted the editor's invitation to serve as abstracters of articles for the "Personnel Literature" section of *Public Personnel Review* during 1961:

J. Fred Dawe, Civil Service Commission of Canada, Ottawa.

Dorothy E. Everett, University of California, Berkeley.

Lew Fay, Personnel Director, San Diego, California, City Civil Service Commission.

Loretta K. Fukuda, Recruiting and Examining Supervisor, Hawaii Department of Civil Service, Honolulu.

Babette G. Goldsmith, Civil Service Examiner, San Francisco City and County Civil Service Commission.

Genevieve M. Lind, Training Officer, Oregon State Civil Service Commission, Salem.

Ruth L. Olson, Bureau Personnel Officer, Bureau of Aeronautics, Department of the Navy, Washington, D. C.

J. Stuart Stephen, Director of Personnel, Province of Ontario Civil Service Commission, Toronto.

Helen Thompson, Assistant Personnel Director, City of Atlanta, Georgia.